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**SUCCESSFUL FRAMEWORKS FOR FINANCING CAPITAL PROJECTS:
AN ANALYSIS OF TEXAS COMMUNITY COLLEGE
PROCESSES FOR BOND REFERENDUMS, 1998-2008**

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by

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Dissertation

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Dedication

This dissertation is dedicated to my husband, Stephen, for his continued and loving support during this journey—you made it all possible. And to our children, who endured the many long hours of their mother focused on her studies and this project.

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Many professors, college leaders, colleagues, community members, friends, students, and family have helped bring this project to fruition. It has been truly a collaborative effort that has relied on mutual understanding and support. I am grateful to my advisor, friend, and professor, John Roueche, for his astute critique of my work and for teaching me about real leadership. He took a chance on me, and I remain indebted. I thank Walter Bumphus for his friendship, mentorship, and support during my doctoral studies and for preparing me for a new and enriching career. To Victor Saenz for pushing me to produce the highest quality of work in research, and methodology practices. To David Eaton for giving me insight into the world of fundraising, grant writing, and his helpful advice on bold recommendations for my study. To Mary Spangler for her editing expertise and looking out for “leadership opportunities.” A special thank you to Ruth, Beverly, Sarah, Reid, and Hortensia for keeping me on track and organized. Lastly, I owe a great deal of gratitude to my family members of Block 63, Danette, Kerry, Karla, Melinda, Linda, Angie, Brenda, Nancee, Jason, Andrew, Paul, and Christy, who brought their encouragement and support in helping me through the cohort and dissertation process. As the motto goes, “You Rock.”

**SUCCESSFUL FRAMEWORKS FOR FINANCING CAPITAL PROJECTS:
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The University of Texas at Austin, 2009

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The purpose of this study was to investigate the capital project financing methods of Texas community college districts, including an analysis of successful general obligation bond elections. A two-phase research approach was used in this analysis. The first part of the research investigation surveyed 65 community college executives and administrators representing 50 community college districts in Texas. College leaders were asked to participate in an online survey regarding finance methods used to fund capital projects. This included leaders who have participated in general obligation bond referendums on their college campuses. Thirty-four out of 65 leaders responded to the survey, which resulted in a 52.3% response rate.

The second part of the investigation disaggregated survey response information from district college leaders into two groups: Those who finance capital projects utilizing general obligation bonds (GO bond) and those who use other methods than general obligation bonds to fund capital improvements or renovations. A cross-sectional

study was conducted during the second phase, which investigated 12 community college district leaders' processes and strategies of passing general obligation bond elections from 1998 to 2008. As a follow-up to the survey instrument, 11 interviews were conducted from GO and non-GO bond community college districts. The results from the findings led to the following conclusions.

Each community college district is unique in how capital projects are funded. The commonalities that existed among survey participants and the personal interviews conducted were establishing strong community relationships prior to the planning of bond campaigns. The data reinforced the basic premise of building key relationships with civic/business leaders early on in the process. The importance of creating an environment that focuses on open communication and trust in support of the college was a determining factor for winning bond elections.

The recommendations that emerged from this study were community college leaders must begin a dialogue to share best practices in capital project funding. Secondly, community college leaders must advocate for an organized system of data collection to record general obligation bond elections from their state agencies. Lastly, an organization for capital project advocacy must be created.

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CHAPTER 1: INTRODUCTION

The purpose of this study was to investigate and analyze factors that affect the passage of bond referendums at Texas community college districts from 1998 to 2008 in planning for capital projects. This topic is of great interest to educational leaders and vested stakeholders throughout the state and nation. The passage of bond referendums in financing campus facilities and related infrastructure is a pressing issue at many of the nation's secondary and post-secondary institutions. Many of these institutions, specifically community colleges, simply do not have adequate funding from operating revenues or property taxes to replace or update current facilities. In addition, in the past two decades there has been an anti-tax movement throughout our nation to legislate tax limitations and restrictions on capital expenditures (Holt, 2002). Holt's research noted that one in three school districts in the U.S. had failed bond elections within a two-year period. Further, the challenge of gaining voter approval coupled with a lack of training for educational administrators on bond issues has led to failed attempts of bond referendums. According to Lifto and Senden (2004) and Holt (2002), developing an effective strategic plan to gain public support is critical in winning bond elections.

Community college districts in Texas have relied heavily on taxpayers to support the funding of campus facilities, as there are few other options available to community colleges for financing capital projects or capital improvements. Financial means available to community college districts are: (1) operating revenue, (2) general

obligation bonds, (3) revenue bonds, (4) private/public partnerships, (5) energy performance contracting, and (6) federal and state grants (Texas Higher Education Coordinating Board, 2008; Texas Education Code, 2001, §130.122). Lifto and Senden (2004) explain that the most common means to finance capital projects is issuing bonds. In most cases, general obligation (GO) bonds are the least expensive way to finance capital projects, and they are backed by the good faith of the taxpayers within their local counties. Because the debt is incurred by taxpayers through an increase in *ad valorem* taxes (e.g., property taxes) within their taxing district, voters must approve the bond measure by securing at least a 51% (50 + 1) favorable vote (Texas Election Code, § 233.001). Often, the task of passing bond measures in their own communities is difficult for some counties. “In some communities, citizens’ perceptions of the economic future of their communities had a critical impact on election outcomes” (Holt, 2002, p. 23). Now, with the economic crisis throughout most of the country, how will vested stakeholders convince voters to support capital outlays?

Statement of the Problem

In the past several years, public and private two- and four-year institutions have experienced steady enrollment increases in higher education. This trend continues despite the United States’ economic woes, inflation, increased tuition costs, and a decline in financial aid support (College Board, 2008). To explain further the increase in enrollment concurrently with a decrease in funding, the Center for the Study of Education Policy (2006) attributes this decline to an evaporation of state funds for

colleges and universities over the last two decades.

As enrollment increases, campus facilities require frequent repairs and renovations to meet the needs of students and programs. Student demand for allied health and technical programs forces many campuses to add new buildings or obtain costly updates for existing facilities. In Texas, the state does not fund capital projects for community colleges; such projects must be funded by tuition, revenue bonds, and property taxes to construct or update existing campus facilities (Texas Education Code, 1971, §130.122). Without support from their local community, community colleges must look elsewhere to fund capital projects. Additionally, Texas community college districts lack an organized system of support from state agencies and associations. These entities can collect, report, and disseminate information on bond elections and results, bond sales, and financing means to fund facilities and infrastructure. This scenario poses a problem in the strategy a community college district takes in competing for support of public financing within their local servicing district.

Due to declining revenues from state support and the increasing cost for colleges to operate effectively, public financing in the form of bond referendums appears to be a vehicle for financing new construction and upgrades to existing facilities (Phipps and Wellman, 2001). It is less expensive and does not cut into the cash flow of operating funds or reserves.

To address this problem, a cross-sectional study of 12 community colleges was investigated from the 50 Texas community college districts that have passed a bond

measure in the past decade successfully (1998 to 2008). The cross-sectional study of 12 community college districts consisted of urban, suburban, and rural institutions in Texas. The methodology and findings are discussed in chapters three and four. Background information was collected before the study began, including Texas community college districts that have elected to use general obligation bond measures to finance capital projects. Results from the background information were collected and compiled into a matrix format for analysis and selection of the population sample. Community colleges that use alternative methods of capital project financing were also analyzed. These factors intend to provide information that is useful to community colleges throughout Texas and other states. To prepare for this study, four research questions were asked:

Grand Question: What types of financing methods do community college leaders use for construction, renovation, or expansion of campus facilities?

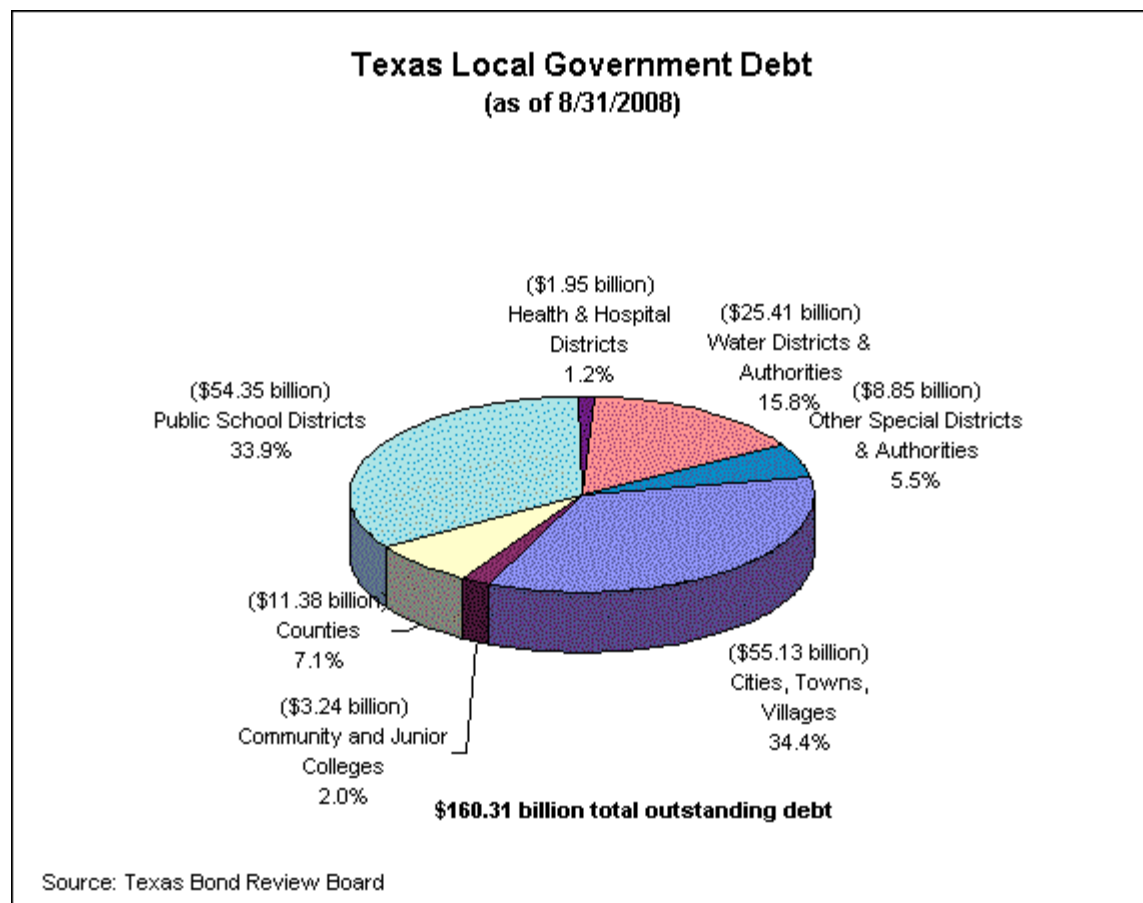
1. What factors do college CEOs and executive leaders (chancellors, presidents, and administrative officers) emphasize in terms of passing a bond referendum for each of the community college districts?
2. What demographic and/or socioeconomic variables of selected institutions influenced successful passage during the past ten years of bond referenda?
3. What election strategies are common to each of the community college districts?

Background to the Problem

In 2002, Emrath predicted a national trend in the increase of debt used to finance public infrastructure and construct capital projects. In 2007, taxpayers in the state of Texas approved 94% of the bond measures, resulting in \$18.77 billion to upgrade and improve capital projects, more so than any other state in the U.S. (Philyaw, 2007). Biemiller (2008) and Theobald and Meier (2002) have a theory: states' or counties' willingness to take on debt to provide educational facilities and public services has to do with how taxpayers value their community. In 2008, the Texas Bond Review Board reported debt service for public junior and community colleges in Texas at \$3.24 billion, which amounted to 2% of the entire state debt service for local government debt. A \$1.34 billion increase in 2005 was a result of community college districts passing bond measures to finance larger, long-term capital projects on their campuses. However, debt service for community college districts still remains low compared to public school districts—which topped \$54.35 billion in debt service, amounting to nearly 34% of all debt service incurred in the state of Texas (Texas Bond Review Board, 2008b, 2005).

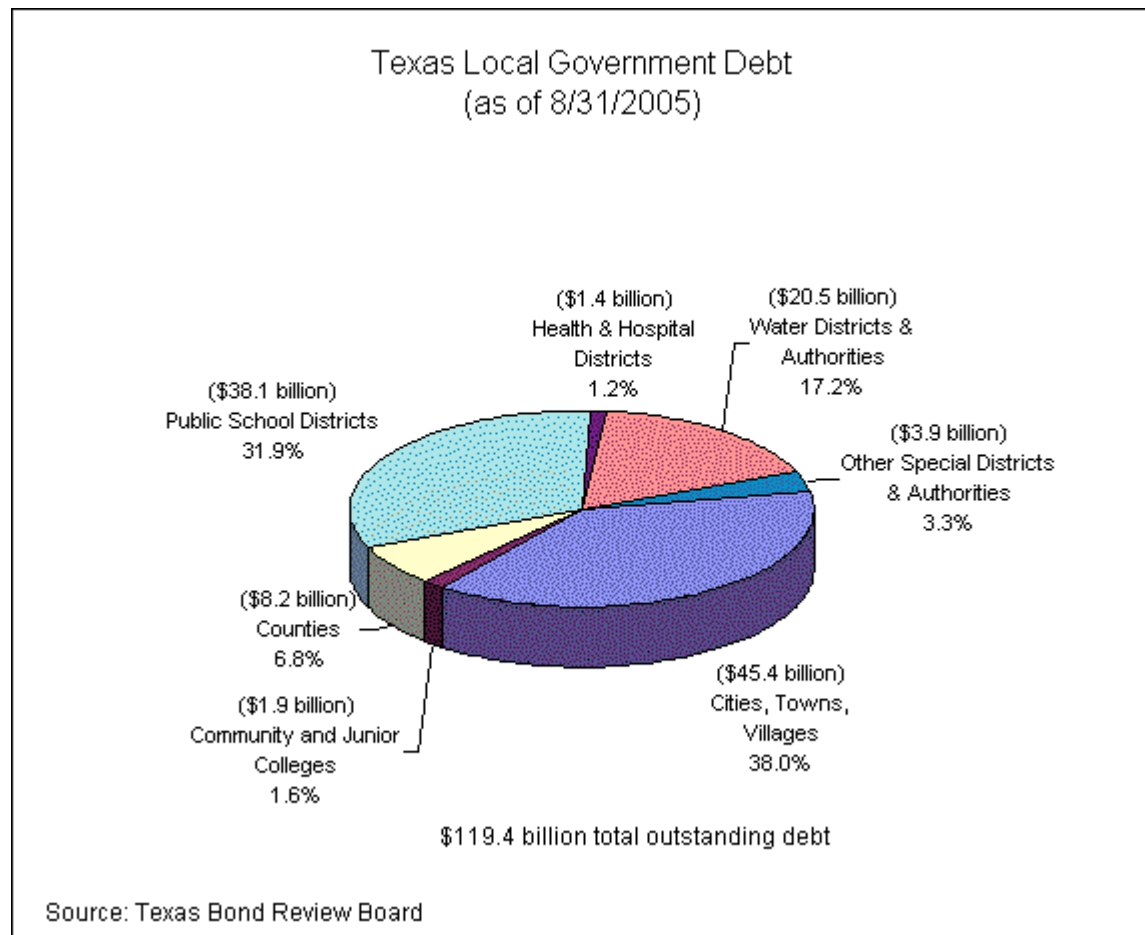
Figure 1-1 highlights the total 2008 public debt service in Texas that totaled over \$160 billion, compared to debt outstanding in 2005, which represented \$119.4 billion as shown in Figure 1-2. These illustrations highlight the growing trend of relying on taxpayer support to fund a wide range of community services, including education.

Figure 1-1. Texas Local Government Debt, 8/31/2008



Source: Texas Bond Review Board. (2008b). *FY 2008 Texas community/junior college district (CCD) debt outstanding*. Note: Texas community and junior colleges make-up 2.0% of the total outstanding government debt as reported by the Bond Review Board.

Figure 1-2. Texas Local Government Debt, 8/31/2005



Source: Texas Bond Review Board. (2005). *FY 2005 Texas community/junior college district (CCD) debt outstanding*. Note: In 2005, Texas community and junior colleges totaled \$1.9 billion (1.6%) of the outstanding government debt as reported by the Bond Review Board.

In her analysis of real estate taxes in the U.S., Siniavskaia (2007) concluded that state and local property taxes reflect median home values. The exceptions were California, Louisiana, Texas, and Wisconsin. Siniavskaia reported that while California had one of the highest home values in the nation, it had among the lowest in property tax

rates. Louisiana had the nation's lowest tax rates at \$1.72 per \$1,000 home value. This is a direct result of a generous homestead exemption. Texas and Wisconsin exceeded \$18 per \$1000 of property home value, but ranked among the lowest in housing costs (p. 2). Districts with high property values are more likely to have resources to pay for bonds. Those with smaller tax rate increases to cover public finance projects typically have lower property tax values. In other words, districts with a low property value would have to increase taxes more, compared to a district with a higher property value, in order to raise the same amount (Theobald and Meier, 2002). Given these state comparisons, one source offsets another in balancing the overall cost of home values to property tax rates in supporting and financing public infrastructure and providing services.

The Texas Comptroller of Public Accounts (2004) argues its primary mechanism for a robust business economy is the lack of a state income tax. Coupled with a low unemployment rate, housing, and living costs, employees can live fairly well. The offset is the high property taxes, in which Texas is ranked as one of the top three states where property taxes are high. The balance of property taxes, state income taxes, and employment rates to no state income tax appears to be the mechanism that allows businesses to thrive. Employers can put more people to work without affecting their bottom line. This allows more hiring of workers to feed the job market. In addition, Texas has one of the lowest unemployment rates (6.5%) in the nation (Texas Workforce Commission, 2009), compared to a recent national average of 8.5% (U.S. Department of Labor, 2009).

The question remains: Why is this important for discussion regarding this study? In trying to pass a bond referendum, especially in high property tax states like Texas, developing an effective message is critical. Carr (2006), Lifto and Senden (2004), and Holt (2002) identified that strategic planning is the best way to build broad public support among potential voters in a researched-based, systematic process. "Smart public relations strategy looks for leverage points, builds on the organization's current strengths or advantages, and considers diplomacy, themes, and communication as important factors" (Holt, 2002, p. 52). Therefore, the process of consensus building is imperative in laying the groundwork for taxpayer support in funding campus facilities and programs.

Funding Campus Projects

Large, well-financed institutions typically have greater access to funding campus facilities and capital improvement projects than do smaller private universities and community colleges (Biemiller, 2008). Colleges look to different sources and uses of revenue and debt to fund long-term projects. Phipps and Wellman (2001) explained that, "Debt funding through bond instruments is a common vehicle for funding long-term capital investments and improvements at most colleges and universities" (p. 8). In many states, the only vehicle to fund capital projects is the sale of general obligation bonds. Taxpayers must approve a bond measure before bond revenues are received by the taxing entity (e.g., public junior and community college districts).

The National Association of College and University Business Officers

(NACUBO, 2009) notes that there are other alternative methods for capital project funding; however, general obligation and revenue bonds are the most common. Long-term bond issues, such as general obligation bonds, are financing tools that school and community college districts use to build new facilities and upgrade facility improvements. This allows the taxpayers to finance the obligation without public educational institutions incurring debt and depleting their financial reserves or fund balances.

Another source of financing are revenue bonds. The Texas Education Code (2003, §130.123) defines revenue bonds as a debt service by the revenue of the project that provides a revenue stream from the anticipated income from tuition charges levied against students or institutions specified in the bond covenants. For example, a student-learning center could be funded by revenue bonds in the form of cash inflows from student tuition and fees, which are generated or anticipated from future revenue sources. Typically, revenue bond financing is used to purchase land or buildings, renovate existing facilities, or improve or build infrastructure related to improving the campus.

Tax Structure

In Texas, local taxpayers support public schools and public two-year colleges. The Texas Comptroller of Public Accounts (2007) stated that junior and community college districts fall under the category of special purpose districts (SPDs), which have the authority to levy taxes on personal and commercial property to provide services for its citizens. Public services are in the form of crime prevention, economic development

and improvement, emergency services, and public transportation. Unlike Texas public schools, where they are automatically granted taxing revenues from property taxes, junior/community college districts must put a vote before the taxpayers to establish their designated service area to support a junior or community college district (Texas Education Code, 1971, §130.122).

Planning for Bond Referendums

Planning for a bond election is a complex, multifaceted issue that includes facility needs, community input, and messaging. Boards and educational leaders must also understand and be able to explain the debt structure to voters and its tax impact before gaining taxpayer approval. Other financial considerations that might be overlooked in the planning process are structuring the bond issue and securing the rating. With careful planning, educational leaders (usually with the help of consultants) can save their district thousands of dollars in interest payments through a good bond rating and the terms of the obligation (Parsons, 2007).

Lifto and Senden (2004) support the use of research-based strategies to win bond campaigns. Their development of a comprehensive planning model has “reaped success in all types of school districts from New Jersey to California” (p. xi) in allowing educational leaders a tool for long-range election planning. Holt (2002), on the other hand, uses a model of predicting success by analyzing variables and reliability formulas to predict voter behavior and bond election success. Overall, these theorists support sound evidence that developing an organized, strategic plan of action can increase the

probability of success.

Purpose of the Study

The purpose of this study examined Texas community college districts from 1998 to 2008 in how they finance capital projects, which included those who successfully pass general obligation bond referendums. This study provided an in-depth understanding of how community college leaders and constituent groups make decisions on capital projects using bond referendums as a financing vehicle. Research information from the study provided analysis and recommendations for a systematic approach in planning for capital projects and processes used in bond measures.

Significance of the Study

In the past two decades, many community college districts in the U.S. have experienced a continual decline in state funding. Texas public schools have increased campus facilities by passing bond referendums in order to accommodate more students (Flanigan, Richardson, and Stollar, 1995). Bond issues must gain approval by the voters to accommodate this need. Another factor is the downturn in the economy. More students are enrolling in community colleges due to the high cost of university tuition and overhead expenses. Parents and students are looking for something more affordable such as community/junior colleges. Parents save money, and their children get the academic preparation needed for university transfer at half the cost. Therefore, with more students attending community colleges, many institutions are operating at a space deficit, and the need to expand or renovate campus facilities is critical.

The overarching problem that seems to exist is “a lack of focus on how the State should target the appropriate amount of investment to meet its higher education goals and address the State’s growing population” (Texas Council of Public University Presidents and Chancellors, 2006). Additionally, can community college districts compete with school districts in their race for public finance support? Who determines which institution is more important or brings value to a community over another? But to boil it down to specifics, community colleges are charged with educating and training more students to compete in the local and global economy. In order train students effectively for specialized jobs such as those in the allied healthcare fields, teaching, training, technology, as well as updated and additional building projects, are essential.

To date, there has not been any research conducted that studies the process of passing a bond referendum for a community college. The gap in research is evident. Researchers, educational leaders, and constituents still do not know what strategies are successful. By conducting this research using the past decade as a starting point, Texas community colleges will be able to use data-driven strategies to improve outcomes in planning for bond elections. State and national organizations such as the Texas Association of Community Colleges, the Texas Higher Education Coordinating Board, and the American Association of Community Colleges will benefit from this research by being able to disseminate information from this study to other public educational institutions. The lack of research limits educational leaders’ and vested stakeholders’ knowledge of how to pass bond referenda for future capital projects.

Little or no research has been published addressing how community colleges have planned for a bond campaign. This study is among the first to focus on capital project frameworks in analyzing the passage general obligation bond referendums. As noted earlier, there are few reliable data sources; research on two-year colleges is almost non-existent in this area.

Research Design

A mixed methods approach guided this study. A survey instrument, personal interviews, and document analysis were used to collect data from 1998 to 2008.

The survey was part of a two-step process. The first section of the survey identified how community college districts funded capital projects. The survey established criteria for college districts that participated in GO bond elections to construct, renovate, or expand campus facilities, and those that used other means to fund capital projects.

Qualitative interviews were conducted in an effort to further probe into the processes and strategies used in financing capital projects through successful passage of bond referendums. Document analysis techniques explored official community college district records, newspapers, articles, media coverage, county and state records, and any other useful documentation that might contain bond issue information.

Theoretical Framework

In order to understand public financing through the use of bond referendums for community college districts and the strategies they employ, a review of theoretical

models was necessary to discuss and will be explained in-depth in Chapter 2.

Definitions

For the purposes of this study, the following operational definitions have been formulated.

1. Bond Referendum. The process by which governmental units approve or disapprove bond sales. The process is typically done through an election by qualified voters in the governmental unit (Flanigan, Richardson, and Stollar, 1995).
2. Capital Project Financing. A plan for capital project expenditures to be incurred each year over a fixed period of years to meet anticipated needs. Each project or anticipated expenditure is to have a plan outlined of specified resources estimated to be available to finance expected expenditures (National Association of State Budget Officers, 2008).
3. Energy Performance Contracting. Funds available as the result of energy savings through an energy audit. Savings are realized through implementation of cost reduction measures to conserve energy and to save cost, and are usually amortized over a 15-year period in the form of energy loans (Texas Higher Education Coordinating Board, 2007).
4. General Obligation (GO) Bonds. GO bonds are a form of long-term borrowing in which the state issues municipal securities and pledges its full faith and credit to the repayment (Texas Bond Review Board, 2008a).

5. Property Taxes. Also referred to as *ad valorem* taxes which are locally assessed taxes that provide more tax dollars for local services to help pay for public schools, including junior/community college districts, city streets, county roads, police and fire protection, parks, libraries, and other related services (Texas Comptroller of Public Accounts, 2004).
6. Taxing District (Local Taxing Units). Relies on local property taxes, in addition to state and federal funds, and typically the tax rates are set at levels that will pay for the difference between budgeted expenditures and state and federal funds to provide services in the form of public education, city and county government services, and special districts, which include junior and community colleges (Texas Comptroller of Public Accounts, 2004).
7. Tax Increment Financing. Tax Increment Financing (TIF) is an economic development tool available to Texas cities to promote both new development and redevelopment within a specific geographic area inside the corporate city limits. To implement TIF, a city must create a Tax Increment Reinvestment Zone (TIRZ) targeting a particular geographic area for new development or redevelopment (Midland Tax Increment Reinvestment Zone, 2008).
8. Tuition Revenue Bonds. A financial instrument authorized by the state government for a specific capital improvement(s) to be repaid by the institution or fees (Texas Education Code, 2003, §130.123).

Assumptions

The following specific assumptions apply to this study.

- The data collected through surveys will be accurate even though time will have passed after the bond referendum succeeded or failed.
- Adequate records will be available to describe accurately what occurred in the bond referendum.
- The people who are surveyed will display accuracy in their recall of events surrounding the bond referendum.

General Assumption: Community colleges will continue to function as organizational units and have the authority and need to conduct bond referenda for constructing and updating educational facilities.

Delimitations

The study was confined to Texas community college districts. Data collection for the study took place during the 2009-2010 academic year. Interviews and a questionnaire were used to collect data. In addition, written materials, such as strategic planning materials, promotional materials, and consultant reports were analyzed from each college.

Limitations

This study was limited to the activities that were used in financing capital projects specific to bond elections from 1998 to 2008. Additionally, this study was limited to the groups that were formed and used to research Texas community college districts or systems.

Organization of Study

The record of study is divided into five major units or chapters. Chapter 1 contains an introduction, a statement of the problem, background, purpose of the study, definition of terms, assumptions, and limitations. Chapter 2 contains a review of the literature. The methodology, procedures, and instrumentation are described in Chapter 3. Chapter 4 contains the analysis and comparisons of the data collected in the study. Chapter 5 contains the researcher's conclusions and recommendations.

Chapter Summary

When community college districts are required to construct or renovate campus facilities and infrastructure, many factors must be considered. The use of capital project financing as a framework to explain various types of funding available to community colleges for capital construction projects in the area of bond referendums is of value to educational leaders and constituency groups. It is also important for taxpayers who need to understand the *big picture*, to ensure that they are receiving a return on their investment.

In Chapter 2, the use of strategic planning processes in guiding a college's goals in determining their needs and gaining public support for a community college bond election are explained.

CHAPTER 2: REVIEW OF THE LITERATURE

Chapter 1 summarized the growing need for capital improvements through the sale of general obligation bonds at Texas community colleges. The discussion in Chapter 1 also highlighted the importance of understanding how bond referenda are passed by local taxpayers to support campus facilities and infrastructure.

The literature review in Chapter 2 focused on four major areas. First, a discussion on the early history of taxpayer support in regards to public and postsecondary education was examined. Second, research on theoretical frameworks in the use of strategic planning related to factors that influence the successful passages of bond referendums guided this study to ascertain the validity of data. Third, public financing by community college districts outlined the importance of how taxpayer support of postsecondary institutions can garner support in capital building projects. Finally, a discussion on political and economic factors provided direction in the outcome of supporting bond measures.

Summary of Literature Searches

The literature does not contain any substantial body of research on the topic of bond referenda for public two-year colleges. Using ProQuest Interdisciplinary Dissertations and Theses (2009), the researcher reviewed more than 100 dissertations on school and university finance, including two-year colleges, in which, 36 dissertations on school bond referendums were located. Only two out of the 34 searches yielded any

results on junior or community colleges relating to bond referendums. Both of those were case studies of a single community college district. A dissertation conducted by Day (1996) from the University of Kansas was a case study on the influences on a community college bond election. Francis' (2006) dissertation, *Interorganizational Collaboration: Interactions and Processes in a Community College and Community Collaboration*, studied the 2000 Higher Education Facilities Bond Referendum passage in North Carolina that used goal-based inter-organizational models as the foundation.

In researching books and articles related to bond referendums, the majority of research pointed to school capital projects, university revenue bonds, and a handful of articles on bond referendum campaigns. Published books were either outdated or were on the history of how junior and community colleges were created by the use of bond measures. To widen the range of research, national and governmental databases were explored to find any data related to a historical basis of capturing bond referenda for schools and colleges. According to conversations and email communication from the Texas Higher Education Coordinating Board, the Texas Association of Community Colleges, the Bond Review Board, the Texas Comptroller of Public Accounts, and other related entities, they do not track bond election results (Appendix F), nor do local county precincts. This is largely due to the decentralized nature of Texas government (Tannahill, 1997).

Another focus of this study was to analyze the role and level of community involvement as it relates to the passage of bond referendums for junior and community

college districts. Planning, executing, and implementing strategies are processes grounded in strategic planning, political, and financial frameworks. The role of strategic planning processes is of value in how community college districts pass bond referenda, although, further attention is needed. To understand better how bond measures are utilized in public education, a historical overview is important to discuss.

Historical Background

Fisher (2002) discussed the rationale of using property taxes to pay for government services. During the 14th and 15th centuries, British tax assessors used ownership, or occupancy of property, to estimate a taxpayer's ability to pay. In time, this tax came to be regarded as a tax on the property itself. Eventually, the United Kingdom developed a tax system based on the annual (rental) value of property. However, as property tax rates became a concern, states used sales and income taxes to relieve the burden of some property taxes. As a result, property taxes became a social and economic necessity to fund public education.

Historically, communities have considered funding school facilities to be the responsibility of the community, and schools were supported through tuition and private donations (Ramirez, 2002). This was especially true in the Colonial period. It was not until the mid-1700s that land grants funded education. Government-financed schools began in the early 19th century, and flat grants (stipends) were used to pay teachers' salaries. This era fostered a revolutionary strategy that used tax dollars to support public education (pp. 54-57).

In Texas, state government has shifted the burden of educational support to taxpayers and other resources, such as bond measures, grants, and foundation contributions. Sources of funding to support capital construction projects for community colleges are varied across the country. In many states, such projects are planned, approved, and funded by local sources. For Texas community colleges, the majority of capital projects are funded through taxpayer support and bonds. The state government does not contribute funds for capital project outlays (Education Commission of the States, 2000; Texas Education Code, 2001, §130.122). However, there is an ongoing conflict according to the Commission:

The junior college movement has focused on the question of how much money students should pay to attend a two-year institution. The 1947 Truman Commission, which recommended the establishment of a national system of two-year community colleges within commuting distance of every American, stressed the importance of making public higher education free through grade 14. The decreasing availability of local support and a precipitous drop in state support for higher education in the 1980s has led to a significant reliance in nearly every state on student tuition and fees in all of higher education, including community colleges. (2000, p. 16)

Review of Related Theoretical Models

This review of the literature is divided into three theoretical frameworks to help understand the nuances of studying successful passages of bond referenda: capital project financing, the political environment, and strategic planning processes. To understand the correlation between successful bond referendum campaigns and planning, a review of theoretical models is relevant.

Public Finance Literature

Many scholars have indicated that facility planning of educational and governmental facilities, as well as economic activities, most often requires capital investment from state and local sources (Casey & Muncha, 2007; Carr 2006; Lifto and Senden, 2004; Mathison, 1998). However, tax revenues from local property taxes are not adequate to build the necessary infrastructure to support many community college districts. Due to increasing enrollment, new specialized programs, and a need to update facilities, it has become more attractive for community colleges to rely on bond issues to meet these growing needs. By using traditional capital borrowing practices in the form of bond referendums, this method has enabled many colleges to improve and develop their campus facilities in order to attract more students (Saint-Onge and Wallace, 2002; Kelly and Zieper, 2001; Mathison, 1998).

Super Bond Referendums

Facilities on many campuses urgently require attention. This is largely due to outdated buildings and a lack of resources to provide proper maintenance because most community colleges depend on local revenues. On occasion, bonds require supermajorities of 60 percent or more to pass, and community colleges routinely compete with the equally compelling needs of K–12 facilities. In many communities and states, the classrooms, labs, and shops on two-year campuses cannot meet current needs, and institutions find themselves trying to teach tomorrow's skills on yesterday's equipment.

A press release from Virginia's Governor Kaine (2007) declared his vision of investing in higher education. Garnering support from college and university presidents, as well as business leaders, Governor Kaine, "Emphasized the importance of ensuring that Virginia's future economy remains strong through strategic investments in higher education." The proposed \$1.65 billion bond package, *Investments in Higher Education* initiative, slated for November 2008, included funding for research facilities and technology for colleges and universities to prepare students for careers that will allow them to compete in the global marketplace.

California's *Kindergarten-University Public Education Facilities Bond Act*, Proposition 1D (2006), a continuation and enhancement of Proposition 55 (2004) and Proposition 47 (2002), is by far the nation's largest education bond proposal, passing with over \$30 billion to repair and upgrade public K-12, community college, and university facilities. The downside, obviously, rests in California's debt problem, which spikes in times of economic challenges. Additionally, the majority of California's school and college facilities have not been updated for at least 30 years (Edsource, 2004).

In 2000, North Carolina voters passed a \$3.1 billion bond referendum to pay for new facilities and deferred repairs for the state's public universities and community colleges. At the time, it was the largest statewide bond package for higher education ever passed in the United States (O'Neill, 2006). This bond measure passed in 2000, before California also passed a series of multi-billion dollar bond referendums to support

their entire K-20 public school pipeline of campus additions and improvements. As a result of the program, more states have taken steps to invest in the future of education.

In addition, Arkansas and South Carolina could not reach a conclusion as to whether or not to establish a state lottery to pay for education programs, including college scholarships. In South Carolina, the lottery won; in Arkansas, it lost. The three states, Arkansas, South Carolina, and North Carolina were among 16 states where voters decided on ballot measures of interest to academe. With 97% of the precincts reporting, 73% of North Carolina voters approved the bond referendum, which provided \$2.5 billion to the 16-campus, University of North Carolina system, and \$600 million to the state's 59 community colleges (Selingo, 2000, para. 3-4).

Trends in Facility Construction

Agron (2007) reported that facility construction nationwide for all education facilities in 2006 was \$36.6 billion, with \$11.3 billion spent in higher education. Projections for 2007-2009 spending will near the \$100 billion mark for construction, and \$45.5 billion for facilities in higher education. The southeastern region has projected to spend the most at \$36 billion, while the northeastern states will spend the lowest at \$3.5 billion. Other regions have reported spending \$3.8 to \$15 billion. Interestingly, 72% of colleges and universities completed some form of construction by year-end of 2006, and 70% reported that their institutions are planning a construction project by 2009 (Agron, 2007). Thus, many regions of the United States will face an increased need for bond referendums or private partnerships as campus facilities continue to require updated

buildings or expansions to existing facilities.

Facility Planning

According to Parsons (2007), the planning process and amount of time required to design and construct facilities once bond measures pass typically is several years. It is important to outline a future plan poised for enrollment growth, additional programs, and updates to facilities. Parsons suggest that the following be considered during the initial planning phase:

1. Shifting demographics/population
2. Enrollment growth
3. Outdated buildings
4. Regulations and codes

Along with construction inflation, a delay in school planning decreases funding. For example, \$500 million in bond money can deflate at a rate of \$2.5 million a month if the cost of construction increases only 6% per year. At this rate, every 12 months a school or community college could lose \$30 million of building potential. This deflation results in the failure of bond programs to produce the facilities and improvements promised to the public, which leads to cost overruns and schedule delays (Parsons, 2007).

However, additional factors often complicate facility construction and financing, particularly those having to do with space, square footage, and land. Where land is more expensive, the total cost of building projects is greater. For taller buildings, each

successive floor costs more than the one below it. Appropriate land costs are difficult to understand for several reasons, though this is largely due to a lack of historical market price information.

Quite often, the acreage on which many colleges and universities rest was acquired decades or centuries earlier. However, the current market price per acre of land adjacent to this college or university can approximate the opportunity cost of land in an appraisal comparison. Geographically, land prices on one side of a college or university may differ dramatically from land prices on the other side. Furthermore, in an attempt to understand land prices, and the location of the institution (e.g., metro, urban, or rural) other factors, such as, convenience must be considered. The expectation is that, in general, the decline in land value stems from a move from a large city location to a rural location where the cost of real estate is typically less expensive. Therefore, the student-to-square-feet-of-building space ratio declines as well. Finally, colleges located in small towns and rural areas typically offer students more building space than those located either in the interior or on the urban fringe of metropolitan areas (Biemiller, 2008; Parsons, 2007). With this noted, the need for mission, vision, and academic planning must align with an inclusive comprehensive master plan that will make taxpayers be willing to foot the bill, while offering some form of relevancy to the building project (Kenney, Dumont, and Kenney, 2005).

Individual State Practices

The Texas Legislative Council (TLC) drafted a report in 2006 regarding practices of all 50 states in school facilities funding. The report provided a profile of each state individually, and grouped each state into three categories: (1) revenue source, (2) form of state aid, and (3) oversight. Only four states [Nebraska, Nevada, Oklahoma, and South Dakota] had no role in helping local school districts pay for public school facilities. The other 46 states, including Texas, have state programs to provide school facilities funding, although some states do finance construction, pay for debt service, allocate state funds for special projects, and provide loan programs. The report from the TLC also explained:

Texas primarily uses general revenue to provide state assistance for public school facilities. Twelve other states also use general revenue fund appropriations as a primary source of facilities funding which include: Arizona, Arkansas, Colorado, Kansas, Kentucky, Louisiana, Maine, Montana, New Hampshire, New York, Pennsylvania, and Rhode Island. State bond proceeds [general obligation or revenue bonds] are currently used in 19 states to provide school facilities funding: Alabama, California, Connecticut, Delaware, Florida, Georgia, Hawaii, Illinois, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, New Jersey, New Mexico, New York, Ohio, Vermont, and Washington. Six other states have issued bonds at some point for this purpose. (2006, pp. 4-5)

To highlight a few unique sources of revenue for school and college facilities, the following is an overview of special uses of consumer taxes:

- Alaska receives cigarette tax revenue (\$2 per pack) to help fund schools and colleges.
- Colorado education facility revenues are received from real estate transfer tax that amounts to four-tenths to one percent.

- Florida has a Public Education Capital Outlay (PECO) fund and receives 2.5% from utilities, transportation, fuel/natural gas, and communication services.
- Hawaii asks residents to donate \$2 for school repairs when they file state income tax returns. This initiative yielded over \$110,000 in 2005. (TLC, 2006, pp. 7-8)

Financing Capital Projects

Universities and colleges differ in how campus facilities are financed, and not all states appropriate funds to finance facilities in the same way. When a community identifies a need for additional capital, many higher education institutions look to debt, specifically by passing a bond referendum. The challenge rests in getting voters to approve measures that will most likely raise property taxes. Secondly, organizing a bond referendum is often a difficult task requiring an enormous amount of resources. School districts and community colleges commonly use bond referendums to enhance their facilities, whereas public universities use a composite of state funds, revenue bonds, grants, and private partnerships to update or add new programs and buildings to their campuses.

With community colleges facing rising enrollment, a whole host of factors contributes to the financial success, or failure, of such institutions. In 2008, junior, community, and technical colleges increased their enrollment by nearly 16% from 2007 (Texas Association of Community Colleges, 2008). Considerations such as rising enrollments and administrative costs, building improvements, and increases in the cost of utilities bring new challenges. Roueche, Richardson, Neal, and Roueche (2008) note

that many community colleges do rival universities in size but have struggled to keep up with costs. In addition, Roueche *et al* explained that student enrollment is likely to continue to increase by as much as 400 percent. As equipment and buildings become rapidly outdated, community colleges struggle to find the time, financial resources, and creativity to remain competitive in an increasingly diverse educational environment.

On most campuses, some facilities have reached the end of their useful life. Few states have dedicated capital resources to building, maintaining, and upgrading college and university facilities. Additionally, there have been even fewer federal resources devoted to this important need since the last era of building during the 1960s and 1970s (Biemiller, 2008). Therefore, many colleges and universities face dual challenges of dwindling state support and locating other financial resources to fund campus facilities.

Texas is unique in that its public two-year institutions are finding innovative means to tap into sources and uses of debt to find revenue. Taxpayers remain a source of funding for schools and community colleges, and many show a readiness to raise funds for campus improvements. Williamson (2008a) considers Texas community colleges “unusual among their U.S. peers in having the legal ability to issue both property-tax supported debt and debt secured by a pledged stream of tuition, fees, or auxiliary revenues” (p. 2). Further, Williamson (2008b) noted that despite the weak economy, Texas debt ratings in the majority of the 254 rated counties are strong, with only three counties having below an A- rating, which demonstrates an attractive growth market with low debt.

Kelly and Zieper (2001) reported that in many states, all jurisdictions might issue debt that is backed by general taxes (general obligation bonds) to raise additional capital for projects such as new campus facilities or building renovations. There are other financing alternatives to the use of debt to expand capital projects for junior and community colleges. Some school and college administrators might conclude that issuing debt is a form of revenue stream necessary for the expansion of capital projects; however, any form of debt constitutes an obligation to repay with specific terms and conditions, which is an expense to an organization.

In this regard, the resurgence of bond referendums in the past few years demands attention because a careful review of how and why these referendums pass successfully reveals their role in providing funds to community colleges and universities. A review of the literature pointed to: (1) increased enrollment, (2) outdated buildings, and (3) new programs that require state-of-the-art facilities. As mentioned previously, educational facilities have aged, which is often the result of underfunded maintenance programs, even as an explosion in population growth has increased enrollment. Thus, it is important to explore how bond referendums are passed.

General Obligation Bonds. Community colleges that choose to expand programs or construct new facilities have only a few financial vehicles available to them. Normally, community college capital projects are financed through taxpayer support in the form of bond referendums. For the purpose of this study, general obligation bond referendums were discussed as the primary focus for analyzing factors used in passing a

bond measure. However, other finance methods are important to discuss as noted below.

Revenue Bonds. In Texas, revenue bonds have been used to fund capital projects for nearly 40 years. Under § 130.123 of the Texas Education Code, junior/community colleges are authorized to issue revenue bonds to provide funds to acquire, purchase, construct, improve, renovate, enlarge, equip, operate, and/or maintain any property, buildings, structures, activities, or operations of any nature. The bonds are payable from and secured by liens on and pledges of all or any part of any of the revenues from any rentals, rates, charges, fees, or other resources of the College. Voter approval is not required. (Texas Education Code, 2003, §130.123). The Texas Education Code, Section (e) also states:

In addition to the revenues, fees, and other resources authorized to be pledged to the payment of bonds issued hereunder, each board further shall be authorized to pledge irrevocably to such payment, out of the tuition charges required or permitted by law to be imposed at its institution or institutions, an amount not exceeding 25 percent of the tuition charges collected from each enrolled student for each semester or term, and each board also shall be authorized to pledge to such payment all or any part of any grant, donation, or income received or to be received from the United States government or any other public or private source, whether pursuant to an agreement or otherwise. (Texas Education Code, 2003, §130.123; Texas Higher Education Coordinating Board, 2008)

Energy Performance Contracting. In 1992, the Texas Legislature authorized higher education institutions to enter into performance contracts for energy conservation measures in order to reduce energy consumption and operating costs at institutional facilities. These contracts are becoming more popular with higher education institutions because they provide a cost-effective way to fund facilities improvements without increasing the need for state appropriations or relying on limited state-funded loan

programs. Typically, energy performance contracts do not require the institutions to cover initial costs; the contractor pays for all project engineering, equipment, and construction, and is paid back from annual energy cost savings within a 10-year period (Texas Comptroller of Public Accounts, 2001).

For many government facility owners, the benefits of an energy performance contracts are greater than the costs. The popularity of performance contracting appears now to be greater in the public than in the private sector in the United States. The reason is principally that the public sector is more risk averse and less motivated by profit maximization than the private sector. Because performance contracts are characterized by lower risk for the facility owner, performance contracting clearly appeals to government facility owners.

Private/Public Partnerships. Using Real Estate Investment Trusts (REITs) is a means by which community colleges and higher education institutions are able to leverage construction and renovate campus facilities. The Texas Legislature approved H.B. 2803 (79R), which introduced the use of Real Estate Investment Trusts (REITs) as a means for junior colleges and institutions of higher education to leverage their financial resources. The context of the House Bill states:

H.B. 2803 infuses equity funding into facilities in the Texas junior college and higher education systems. Under the bill, the education institution selling facilities to a REIT would receive a lump sum payment from the REIT. The education institution could use this payment to enhance services, instructional programs, or facilities in other needed areas without seeking new bonding authority. The bill provides for concurrent agreements whereby a junior college or higher education may enter into a lease under which the education institution has use of the facility. The bill ensures a focus on education activities in those

facilities by requiring that the lessee, in this case the junior college or institution of higher education entering into the concurrent agreement, specify the use of the facility for the duration of the concurrent agreement. (Texas House Bill, §2803, 2005, para. 2)

While REITs are common in the private sector and in higher education housing, this bill is an innovative way to leverage funds in Texas junior colleges as well as other colleges and universities. Several other states use REITs to finance capital project improvements and maintenance of higher education facilities.

The largest student housing REIT in the nation is American Campus Communities (ACC), which has developed facilities for Texas A&M University, Sam Houston State University, Texas State University, the University of North Texas, and Lamar University. ACC has also developed higher education facilities in 20 other states. The success of REITs serves as a model for the introduction of private investment into the public education arena (The Texas Conservative Coalition Research Institute, 2007).

Strategic Planning Literature

As mentioned in Chapter 1, Lifto and Senden (2004) and Holt (2002) support the notion that developing a well-organized, thoughtful strategic plan can increase the probability of success. Theobald and Meier (2002) found that, “Bond election success is sensitive to needs, costs, resources, and measures of self-interest. The results for the tax, maintenance, and capital outlay indicate that history plays a role in the likelihood of success” (p. 12). That is, high tax rates and capital outlays are, in part, an indicator of willingness to pay for government services. High-maintenance costs are likely a function of certain institutions' inability to raise funds for new buildings. Furthermore, Theobald

and Meier (2002) claim that schools and colleges may have a difficult time passing bonds if there is not a willingness within the district to use taxes to pay for public goods.

Carroll (2006) outlines the three steps necessary to pass a bond when the economy is not strong. First, prepare a detailed plan and outline where taxpayer dollars will be spent. Second, form broad support from internal and external stakeholders. And third, secure adequate resources to fund a successful campaign initiative. Carroll further suggests that, regardless of the demographics or economy, bond campaigns can overcome challenges. The vision must be shared, and community buy-in is critical. Bringing together education and business leaders, parents, grandparents, and vested stakeholders is vital to improve the chances of a successful bond campaign.

Building strong support for community college capital projects requires careful strategic planning. Carr (2006) describes that in today's political and economic environment, "one political misstep or oversight can derail even the most seasoned and successful administrators" (p. 51). Carr further explains that research is the most important; communicating to citizens the central message and theme of why passing a bond measure is important for the community runs a close second and is often the most overlooked. Putting a bond measure before the voters involves an immense amount of planning. Kelly and Zieper (2001) identify six steps that are needed to facilitate a sound public finance approach:

1. capacity building;
2. feasibility research;

3. polling;
4. measure design;
5. campaigning; and
6. implementation (pp. 1-2)

Planning for capital projects by developing strategic goals is supported in Casey and Muncha's (2007) discussion of involving citizens from the early start, which establishes a direct relationship to the need of capital projects and related infrastructure. In addition, Colyer and Seeger (2007) emphasize the importance of creating a master plan for capital projects in managing enrollment growth and a tool for forecasting the "college's growth potential and the changing educational needs" (p. 63).

Examining factors that influence the voting public and which consequently determine the success or failure of college bond campaigns, specifically strategies used in bond elections, is important to educational leaders and constituents. Bond elections allow voters to determine whether taxes can be raised for the purpose of purchasing bonds to fund buildings, renovate facilities, and, in some cases, use general obligation bonds to fund workforce-training programs (Prince, 2007). Increasing property taxes can be a daunting task, especially when economic times are difficult. "Capacity building by local citizens can have a positive outcome, and the use of advisory committees may be the most efficient method to garner support for bond elections" (Mathison, 1998, p. 48). Mathison further suggests that in quantifying the need for a new building, the advisory committee should evaluate existing buildings and sites for new facilities as well as

population projections. The creation of vision and mission statements with vested stakeholders and constituency groups creates buy-in and ensures that community interests are reflected, thereby allowing these groups to work toward their mission to enhance the effectiveness and organizational performance of the institution.

Political Literature

The previous mention of the sparse literature review echoes the sentiments of Theobald and Meier (2002), who suggest that, “School bond elections receive little attention in political science or education policy literature, and the research that does exist is based on the observations of a single or a hand full of elections” (p. 1). However, there is a plethora of literature that assesses the political environment for bond campaigns, and their use of advisory community committees. Waters’ (2004) stresses the use of advisory committee activities in school bond measures is particularly important in garnering support of funding capital projects. His study found that surveying participants revealed that college officials who maintained a low profile and enlisted the help of diverse community task force leaders who focused on the *yes* vote was instrumental in capacity building to support a bond election. Fairbank (2006) suggests building a campaign organization consisting of a steering committee to include business leaders, civic organizations, school board members, and key stakeholders. “To assess the mood of your electorate, it’s helpful to have comprehensive polling or survey data that will give you insight into the opinions of likely voters” (Fairbank 2006, p. 43).

Another strategy is to omit all politics and rely on empirical benchmarks in planning for a bond referendum. Hunter (2004) disregards the traditional approach in planning for bond campaigns and suggests that using a benchmark system is difficult to manipulate and takes the politics out of facility planning. A consultant is typically hired to assess the facilities and costs, then a task force is formed consisting of community members and leaders, participants are polled to gauge the level of support, and lastly, the board approves the plan and presents it to the public. Hunter's (2004) recommends the following benefits in planning for a bond campaign:

1. Ensures most critical needs are met
2. Ensures facility equity
3. Ensures basic needs are met without overbuilding
4. Ensures credibility
5. Corrects deferred maintenance
6. Eliminates unwarranted pet projects
7. Demonstrates fiscal responsibility
8. Provides annual monitoring tool
9. Improves facility efficiency and effectiveness. (p. 3)

Chapter Summary

There is a large disparity in the research concerning financial considerations of public schools and higher education institutions—with little research on how community college districts finance their campuses. Most of the research for two-year colleges points to enrollment trends, proportionality and funding reports, and student success

indicators. However, there is much research needed on strategies that involve community colleges in their path to support enrollment and training demands for this century.

Clearly, the literature of public finance for capital projects in support of bond referendums for community college districts is limited. More importantly, for the purposes of this study, the available literature for Texas community colleges in capital financial frameworks in the area of bond referendums is almost non-existent. No research studies have been conducted, and only a handful of success stories in the *Community College Times* and *Chronicle of Higher Education* was located.

However, the literature that does exist recognizes the importance of public finance strategies associated with planning for bond measures as essential to improving campus facilities to support a growing population of students. Further, national and local trends in demographics, including socioeconomic status and age, does play a pivotal role in getting bond support to fund public education facilities. Chapter 3 will explain the methodology used in the design of this study.

CHAPTER 3: METHODOLOGY

Chapter 3 presents the rationale for this mixed methods study, the methodologies employed, as well as a description of the data collection procedures and analysis. The aim of the study explored beliefs and attitudes of community college leaders about their experiences in funding capital projects on their college campuses. A mixed methods study was used to develop a profile of community colleges to determine what type of capital project funding each district utilizes to construct or renovate campus facilities and infrastructure. The profile was created in determining college CEOs' and administrators' perceptions of their strategic processes in planning for a bond referendum. This chapter will outline the methodology procedures to answer the following research questions:

Research Questions

Grand Question: What types of financing methods are used by community college leaders for construction, renovation, or expansion of campus facilities?

1. What factors do college CEOs and executive leaders (chancellors, presidents, and administrative officers) emphasize in terms of passing a bond referendum for each of the community college districts?
2. What demographic variables of selected institutions influenced successful passage during the past ten years of bond referenda?
3. What election strategies are common to each of the community college districts?

Research Question Design

An overarching research question, also known *as a grand tour question*, along with three sub-questions was developed to guide this study. The purpose in using this type of question design allowed the researcher to organize the study in a thoughtful and meaningful manner. McCaslin and Scott (2003) in their work suggested:

The Method facilitates identifying and writing a Problem Statement. Through taking a future perspective, the researcher discovers the importance and direction of the study and composes a Purpose Statement...this allows for the researcher the beginnings of discovery where creativity emerges to address the problem statement from a phenomenology and grounded theory lens. (pp. 452-453)

Methods

Lifto and Senden (2004), Faltys (2006), and Waters (2004) studied methods and strategies used in public finance campaigns for school bond referenda. Both quantitative and qualitative methods were applied in their research. The study surveyed educational leaders and committee members who participated in the planning for K-12 school bond measures. This study will expand the breadth and depth of previous studies with a focus on community colleges.

Mixed Methods

The goal of a mixed methods approach as explained by Tashakkori and Teddlie (1998) is to understand a pragmatic framework to study the validity of utilizing different research methods. They explain that using “purely quantitative research tends to be less helpful through its oversimplification of causal relationships; purely qualitative research tends to be less helpful through its selectivity in reporting” (p. 5). Northcutt and McCoy

(2004) state that complex planning issues or understanding the many influences of human behavior and activities requires qualitative research methods and data to interpret the information. Understanding the human element of perceptions and influences of individuals and the processes utilized in explaining how decisions are processed will be useful in theorizing how decisions in passing bond referendums are processed.

According to Creswell (2003), a mixed methods approach is deemed the most effective method for initial investigation. Anfara and Mertz's (2006) and Northcutt and McCoy's (2004) views of qualitative research provides insight into data gathered from document analysis and interactive interviews that could not be gathered through quantitative analysis. Creswell (2003) employed strategies of inquiry that involved collecting data sequentially or simultaneously to understand research questions better.

The research design of this study created a quantitative systematic approach to gather and analyze data through the use of a survey (Appendix D). The qualitative data explained the results from the initial quantitative phase of the study in order to enhance the viewpoints from research participants. The mixed methods approach highlighted the importance of quantitative and qualitative analysis in strengthening the connection between the survey instrument and the personal interviews. This approach captured the participants' views on types of processes applied within the strategic planning framework of capital project planning for bond referendums.

Quantitative and qualitative research methods were utilized to examine the research questions in a mixed methods approach. To examine the research questions, a

survey instrument was developed to obtain historical background information from Texas community college districts about what methods they use to construct or renovate campus facilities and processes utilized in the successful passage of a bond referendum. As described in Chapter 2, local and state governmental agencies do not track bond elections for school or college districts. Therefore, the collection of data from the online survey instrument and follow-up interviews was critical in obtaining information and establishing a timeline for the study. To enhance the effectiveness of the study, follow-up interviews were conducted based on college administrators' responses to the survey questionnaire.

Data Collection

In order to gather the necessary data, a survey instrument was developed to obtain background information for the researcher to construct a data set of community colleges in how they finance capital projects. As discussed previously, a data set was necessary and provided a baseline for the sample population. Prior to obtaining the survey results, a matrix was developed for analysis in determining a potential sample size by region and urbanicity as shown in Figure 3-1.

Figure 3-1. Texas Community College Districts by Region and Urbanicity

Texas Community College Districts (50) by Region	
District	Urbanicity 2008
Central Texas Region	
Austin Community College	Urban
Blinn College	Rural
Central Texas College	Rural
Hill College	Rural
McLennan Community College	Rural
Navarro College	Rural
Temple College	Rural
East Texas Region	
Angelina College	Rural
Kilgore College	Rural
Northeast Texas Community College	Rural
Panola College	Rural
Paris Junior College	Rural
Texarkana College	Rural
Trinity Valley Community College	Suburban
Tyler Junior College	Rural
North Texas Region	
Cisco College	Rural
Collin College	Suburban
Dallas County Community Colleges	Urban
Grayson County College	Rural
North Central Texas College	Rural
Ranger College	Rural
Tarrant County College	Urban
Vernon College	Rural
Weatherford College	Suburban
South Texas Region	
Alamo Colleges	Urban
Coastal Bend College	Rural
Del Mar College	Rural
Laredo Community College	Rural
South Texas College	Urban
Southwest Texas Junior College	Rural
Texas Southmost College	Rural
The Victoria College	Rural
Southeast Texas Region	
Alvin Community College	Rural
Brazosport College	Rural
College of the Mainland	Rural
Galveston College	Rural
Houston Community College System	Urban
Lee College	Suburban
Lone Star College System	Suburban
San Jacinto College	Suburban
Wharton County Junior College	Rural
West Texas Region	
Amarillo College	Rural
Clarendon College	Rural
El Paso Community College	Urban
Frank Phillips College	Rural
Howard College	Rural
Midland College	Rural
Odessa College	Rural
South Plains College	Rural
Western Texas College	Rural

Figure 3-1 was recreated by data obtained from the Texas Association of Community Colleges (2009) and National Center For Education Statistics, Integrated postsecondary education data System (IPEDS) 2008 report.

As noted in Figure 3-1, the majority of college districts represent rural institutions. According the IPEDS data (2008), there are 37 rural, 7 urban, and 6 suburban colleges classified as either junior or community colleges.

The next step was to administer the survey and complete the matrix (Table 3-1) upon the finalization of results. The intent focuses on junior/community college districts that use GO bonds to finance capital projects. As discussed earlier in Chapter 2, the nature of a decentralized government structure and agencies lack an organized system of data collection for this type of financial reporting. Chapter 5 will provide an updated matrix with analysis of the survey results. Calling and emailing college administrators whom first-hand knowledge of the methods to finance capital projects once the survey results were completed was an efficient means to obtain data. Texas community college district information was also obtained concerning bond election results through media sources, with a follow-up call or email to verify whether the institution employed alternative means of financing capital projects other than general obligation bonds. Contacting each college directly was an efficient means to gather information rather than requesting records by way of the Open Public Records Act as stipulated by Texas state law. This would be useful way to obtain such information; however, it would involve enlisting an employee of that institution who may or may not have an accurate record of the request, and the time and cost involved may have been prohibitive. Therefore, conducting a research study of this nature was justifiable and timely.

Data were collected from three sources: 1) a survey instrument in the form of a

questionnaire was developed to collect the quantitative data for this study; (2) interviews were conducted as a follow-up to the questionnaire; and (3) written documents from the various institutions, governmental agencies, and local news sources served to expand the collection of qualitative data. By triangulating the three sources in this manner, verification of findings was possible.

The survey was adapted from the work of Lifo and Senden (2004) and Lifo (1995). Lifo, a school superintendent with over 32 years experience, has been a leader in strategically planning for school bond measures. He initially addressed *factors affecting the outcome of successful and unsuccessful bond referenda in four school districts* in his dissertation on school finance in public schools (Lifo, 1995). The main difference in the survey from Lifo involved questions centered on types of capital project financing. Following the survey, qualitative semi-structured (e.g., face-to-face and telephone) interviews were conducted by the researcher that covered issues related to finance methods of capital projects, bond election challenges, and planning processes for bond referendums.

Interviews were conducted and audiotaped with the participants' permission during the months of August and September of 2009. The researcher transcribed the interviews, coded and analyzed key findings to develop themes. The analyses of the key findings among the 12 community college districts studied are discussed in Chapter 4.

Written documents (board minutes, newspaper clippings, legislative records, and promotional materials) were analyzed from each college provided qualitative data

collection. A document summary clarified and summarized significant findings that support the literature review and survey responses. Text from this form was coded by hand and analyzed.

Testing and Confirming Data

There are two forms of bias described by Miles and Huberman (1994) that could possibly influence the interpretation of data as found in this research study. The first type of bias is Holistic fallacy. In this type, the researcher reads more into the data than there is. The second type, elite bias, deals with overweighing of data. In this situation, the researcher weighs the data obtained from higher status informants more heavily. To prevent these types of biases from influencing the results of the study Miles and Huberman recommend:

1. Checking for representativeness. To ensure a broad representation, all institutions from the listing of Texas community districts in Texas were used from the population sample.
2. Checking for researcher effects and bias. To prevent researcher effects and bias, data were collected from three sources (surveys, interviews, and analysis documents). Analysis of the data was presented both quantitatively and qualitatively, eliminating overemphasis of one source of information over another.
3. Triangulating data. Three sources were used to collect data for this study: questionnaire, interview, and written documents. The sources will verify findings.
4. Weighing the evidence. By conducting the interview after the sample responded to the questionnaire, the data was strengthened.
5. Getting feedback from informants. Interviews were conducted to verify responses to questionnaire.

To eliminate such biases, the triangulation of research methods employed during this study presented a stronger approach in weighing the evidence from a holistic perspective to eliminate overemphasis of data sources and biases.

Documentation and Auditing

Documentation from this study will be available upon request for research purposes.

Purpose of the Study

The purpose of this study was to determine the perceived effectiveness of specific strategic activities used during a college bond proposal and election process. The literature of (Fairbank, 2006; Faltys, 2006; Waters, 2004; and Mathison, 1998) supports the use of advisory committee activities for promoting a bond issue in community college districts. Carroll (2006) and Holt (2002) contend that college officials maintaining a low profile, the presence of a diverse community task force, focusing on *yes* voters, involving the committee in early planning, focusing on disseminating information, and focusing on benefits to students and the community are all important in the passage of a college bond election.

The literature helped guide the survey design and construction to determine if the items and questions created for the survey instrument had a positive outcome on future studies pertaining to strategic processes used in college bond elections. This information is described in Chapters 4 and 5.

Population and Sample Methods

For this study, it was not feasible to conduct sophisticated statistical analysis using SPSS (now PASW) or similar applications because of the small population and sample size, a non-statistical method approach (purposive sampling method) was ideally suited for this study. During the research planning phase, a formal statistical technique referred to as a *t*-test analysis was performed to determine the population size appropriate for SPSS analysis. It was determined that the population of college administrators was too small (p values $< .05$) to use randomized, cluster, or systematic sampling methods. Hoyle (1999) found that having a small sample size to draw from does not necessarily mean relationships cannot be formed, quite the contrary.

Commonly small samples will lead to results that do not reach the conventional level of significance values of than .05, which might mistakenly lead the research to accept the null hypothesis of no relationship. Yes, by considering the effect size, the researcher might uncover potentially interesting and valuable relationship that might have yielded more significant results if only more subjects were added to the study. (p. 64)

The sample population hinged upon survey responses from Texas community college leaders who utilized general obligations bonds from 1998 to 2008 to fund capital projects. Since the population size was small, and some leaders were new to the district, an oversampling of the participants was necessary for a robust population to draw upon. Thus, (over) surveying executive leaders ($n=65$) from all community college districts in Texas was necessary for the purpose of this study. The population from the colleges included chancellors, presidents, and administrative officers who had knowledge of bond elections for the use of capital projects.

Purposive Sampling Method

A purposive sampling method approach was deemed most effective for this study. Teddlie and Yu (2007) suggest that a purposive sample is typically designed to pick a certain number of cases in a small quantity that will yield the most results or have the greatest impact. Miles and Huberman (1994) noted that if probability sampling cannot be achieved, or if it is not feasible to include a sufficiently large number of samples in the study, then quality rather than quantity of data becomes the most critical factor. Overall, the aim of this type of methodology was *precision*. The advantage of purposive sampling, also known as judgment sampling, allows the researcher to focus on certain individuals or events (Sproull, 1995).

The limitations of this method in selecting the sample size are a concern for researchers. Teddlie and Yu (2007) and Sproull (1995) suggested that small population sizes can create biases or difficult to develop relationships as found with larger samples. However, these theorists contend that it is also possible to misinterpret what is reported as a significant difference or relationship with a very large sample. This is also true with a sample that is not properly drawn from the population is misleading, no matter what the size.

Survey Instrument Development

The survey instrument (Appendix D) was developed based on the researcher's knowledge of bond elections, literature review, and input from community college leaders, university professors, and staff at the Center for Community College Student

Engagement (*CCCSE*). The development of the survey followed the guidelines provided in the handbook, *Designing Surveys: A Guide to Decisions and Procedures* (Czaja and Blair, 2005). The instrument also utilized components (e.g., election strategies) from existing dissertation studies of Lifo's (1995), Faltys' (2006), and Waters' (2004) strategic methods on successful bond passages, and Lifo and Senden's (2004) book on the effectiveness of committee members in public school bond elections.

The intent of the survey was to develop a profile of the subject population and to establish a historical baseline through secondary sources of published and unpublished documentation to develop a matrix of each community college district that employs general obligation bonds to construct or renovate campus facilities. Once developed, the survey instrument was piloted and tested on a sample population of ten college administrators and staff. Feedback from pilot participants focused on survey question construction and usefulness. Czaja and Blair (2005) suggest that researchers should debrief with participants to reconcile any potential problems before the survey is administered. This was method was followed by the researcher.

The instrument surveyed executive and administrative officials of Texas community college districts who had first-hand knowledge and were involved in a GO bond election campaigns from 1998 to 2008. Approximately 24 questions addressed specific issues related to capital project finance frameworks as well as factors (strategies) in planning for bond elections. Survey items were designed to predict

outcomes of successful methods applied during pre-planning and planning for bond referendums during elections.

Survey Instrumentation

The survey was administered online through SurveyMonkey (www.surveymonkey.com), a website that allows users to create survey instruments from several types of questions (multiple choice, rating scales, and drop-down menus). In addition, SurveyMonkey tracks results and sends follow-up reminders. The advantages of web-based surveys are cost and time, along with conveniences and accessibility for the researcher and participants. However, there are disadvantages that should be considered.

Wright (2005) claims that limitations of online survey instruments are referred to as, *self-selection or systematic biases*. “In any given Internet community, there are undoubtedly some individuals who are more likely than others to complete an online survey.” In these instances, participants choose either to participate, ignore the invitation, or cannot access the online survey (para. 14). To resolve these issues, follow-up email reminders, and telephone calls helped prompt the participant to respond to the survey. Additionally, a paper version from the online survey application portal was downloaded, and faxed to those who could not participate online. The completed hard copy survey was faxed back to the researcher, and input into SurveyMonkey by hand. These methods allowed for a higher than average response rate (52.3%) compared to (30.1%) for online survey responses according to Dillman (2000).

The survey instrument also focused on methods utilized by community college leaders' in how they fund capital projects. Successful bond elections consisted of the following four parts:

1. Introduction and IRB consent form
2. Leadership profile and background information
3. Bond election planning processes
4. Demographic variables of successful bond elections

The first part of the questionnaire listed background information pertaining to the survey. The survey title was important because it hinted to readers what was to follow in relation to capital project financing and bond referendums. Secondly, to increase the chance of survey participation, an introduction provided background information on the survey's purpose and on why the individual was selected to participate. The survey introduction also specified that answers would remain confidential, provided information on the lead investigator (researcher), as well as contact information.

The next section of the survey instrument was relevant for the selection of research participants. This group of questions was limited to those who participated in a general obligation bond election from 1998 to 2008. There were yes/no features in the section, and an opt-out for those who did not participate in bond elections during the time frame. The last question of Section I asked community college leaders who did not participate in GO bond elections if they would be interested in participating in a follow-up interview to discuss how their institution funds capital projects. Of the 34 individuals

who responded to the survey, only two declined a follow-up interview request.

Question #6: Has your college participated in GO bond campaigns on your campus within the past ten years (1998-2008)?

If the participant answered *no* to question #6, questions #7 and #8 were skipped by checking *n/a* on the survey, and participants were prompted to answer question #9.

Question #9: Were you directly involved with a general obligation bond referendum process at a Texas community college district from 1998 to 2008?

If the participant answered *yes* to question #9, they were asked to proceed to the third section of the survey regarding bond referendum planning and processes.

The objective of the first phase of the survey was to collect information from community college leaders on what types of capital project funding methods they use to construct or renovate campus facilities. The second section of the survey instrument consisted of the primary focus of factors used when bond referendums either *pass* or *fail*. The items listed within questions 11-17 were composed in a Likert format. The purpose of a Likert-scale in the development of survey instrumentation is to gain information about feelings or attitudes of participants (Waddington, 2000). To determine behaviors, participants were asked to indicate the degree of personal importance each concept held in order to measure the strategy against the hypothesis of the successful or unsuccessful passage of bond referendums. The validation of this section made inferences about the impact of unobserved variables (bond strategies or activities) on the outcome of the bond election.

The last section of the survey (questions 18 - 24) asked participants about planning strategies and activities. The feedback from these questions was of particular interest during the pilot phase. Lastly, the data gathered from different constituency groups provided research findings and evidence from those who have participated in the process.

Procedures

Sixty-five (n=65) surveys were emailed to community college chancellors, presidents, and administrative officers asking them to participate in an online survey. The participant was asked to click on a link to begin, along with a consent form that outlined the research process and certification of IRB approval. Email and website addresses, telephone numbers, and names of college leaders were obtained from the Texas Association of Community Colleges (TACC) and National Institute of Staff and Organizational Development (NISOD). Data collection did not begin until after IRB approval. For security purposes and adherence to IRB protocol, surveys and other related documents were kept in a secure file.

The surveys were emailed in two waves: 1) August 7, 2009, Friday evening, and 2) August 10, 2009, Monday evening. The methodology for the two waves was due to time constraints of personalizing emails so college leaders would respond. The researcher was also curious and wanted to test a hypothesis of survey responses times similar to the work of Shinn, Baker, and Briers (2007). Several theorists in tracking

response rates and times have researched this type of survey methodology. According to Shinn, et al,

Valuable best practices have been developed and proposed by (Brashears, Akers, & Bullock, 2003; Bruzzone, 1999; Dillman, 2000; Dillman & Carley-Baxter, 2000; Frazee, Hardin, Brashears, Haygood, & Smith, 2003; Lindner, Murphy, & Briers, 2001; Mehta & Sivadas, 1995; Miller & Smith, 1983; Nie, Hillygus, & Erbring, 2002; Schaefer & Dillman, 1998; Sheehan & Hoy, 1999; Tse, 1998; Tse, Tse, Yin, Ting, Yi, Yee, & Hong, 1995; Walonick, (n.d.), Witmer, Colman, & Katzman, 1999; and Yun & Trumbo, 2000). (para. 2)

in reaching the most efficient and effective response rates by each day of the week for email/online survey instruments. Shinn et al in their study found that Wednesdays had the highest response rate (43.59%), while Mondays (21.51%) had the lowest response rates.

In analyzing response times for *this* study, the first wave of Friday evening surveys that were emailed (n=32) were found to have the highest rate of returns (n=13, 40.6%) from college administrators who responded before their workday began on Monday, August 10. The second wave of surveys (n=33) that were emailed on Monday evening, had a response rate of (24.2%) for those who responded Tuesday-Thursday. No responses were received until the second and third email reminder notices was sent out Tuesday, August 18, and August 24, with a follow-up telephone call to the CEOs/administrator's assistant. The researcher concludes the reasons for the high responses rate is attributed to: a) interest in the survey topic, b) supporting doctoral research, and c) time away from their workplace environment. This process further

concludes the validity of the purposive sampling method employed to target a specific group of participants (e.g., college leaders).

Reliability

As discussed in the survey development section, there were a number of pretests administered to determine whether respondents understood the survey questions.

Approximately three different variations of the survey helped determine which instrument would produce “good answers that were valid and reliable” (Czaja and Blair, 2005, p. 104). A pilot survey provided feedback regarding (1) format and organization, (2) clarity of the instructions, (3) clarity of each description or question, and (4) legal considerations. Variance and bias are likely to occur because the survey asks for participants’ opinions. As Czaja and Blair (2005) contend, “questions can be the same, but a variance will occur when answered differently, thus producing survey errors” (p. 194). To reduce such errors, personal interviews were conducted as a follow-up measure to provide clarity and validation of survey question responses.

Interview Methods

The primary purpose for the interviews was to assess the validity of the survey instrument by seeking answers based on views from the participants’ perspectives or values. The survey and interviews were the most effective methods to determine the applicability of the research questions. Conducting personal qualitative interviews allowed the researcher to explore views of the interviewees relevant to the literature on strategic and political frameworks described in Chapter 2. Interviews were conducted to

collect data from a pre-determined number of individuals who responded to the survey. Interview participants were selected based on agreeing to participate in the interview process, and those who had multiple bond elections passages, along with some failures. The failing of bond election comments were to capture college leaders' views on *lessons learned*. A total of 11 interviews were conducted after the online survey was completed in order to explore views on how capital projects are financed without the help of taxpayer support: nine from community college districts that participated in general bond elections from 1998 to 2008, and two from non-GO bond community college districts. For these reasons, informal and open-ended questions were developed prior to the interview.

For each interview, the underlying principles derived from the literature and results from the survey were utilized to inform the development of the questions and to guide the interview. The interviews were confidential and did not reveal the name of the participant or the college where they were employed. Rather, undisclosed general comments were categorized into central themes by conducting coding analysis techniques. Miles and Huberman (1994) assert the relevance of descriptive codes:

Codes are used to retrieve and organize the chunks of data consisting of varying sizes that include words, phrases, sentences, or whole paragraphs connected or unconnected to a specific setting...The organizing part will entail some system of categorizing the various chunks, so the researcher can quickly find, pull out, and cluster segments relating to the particular research question, hypothesis, construct or theme. (p. 57)

Chapter Summary

Chapter 3 outlined the methodology ascribed during this study, which was a mixed method approach. To test the validity of the literature review, a meta-analysis approach of the literature addressed the research questions to determine the relevancy of the research questions. This approach revealed the study's characteristics, such as strategic frameworks and planning processes by committee members in the preparation of community college bond referenda. These frameworks and planning processes were investigated through a survey questionnaire and personal interviews.

CHAPTER 4: FINDINGS

Introduction

This study presents findings from a two-step research process that will be discussed in this chapter. The purpose of this study was to address four research questions with regard to how Texas community college districts finance capital projects.

Grand Question: What types of financing methods are used by community college leaders to construct, renovate, or expand campus facilities?

1. What factors do college CEOs and executive leaders (chancellors, presidents, and administrative officers) emphasize in terms of passing a bond referendum for each of the community college districts?
2. What demographic variables of selected institutions influenced successful passage during the past ten years of bond referenda?
3. What election strategies are common to each of the community college districts?

Presentation of the Findings

This chapter provides data results from a survey instrument and qualitative interviews. The data presented are displayed as bar and pie charts along with a brief description. Surveys were distributed online to 65 college leaders and administrators within the 50 community college districts in Texas. As mentioned in Chapter 3, the survey instrument was administered to college executives and administrators to obtain information about how they fund capital projects.

Phase One Survey Findings

Survey questions #3-9 were asked of college executives and administrators to ascertain if they held general obligation bond elections during 1998 to 2008. This was the first phase of the study. The second phase consisted of survey questions #10-24 that outlined referenda processes and election strategies perceived to be effective by college leaders.

Responses from 34 out of 65 participants representing 27 of the 50 community college districts were received. These results yielded response rates of 52.3% (participants) and 54% (districts) accordingly. The overlap of surveying more administrators than college districts was due to movement within the organization of new and outgoing leaders during the timeframe of the study. A criterion was established by choosing *one* college leader who represented his/her community college district from 1998 to 2008.

Table 4-1. Survey Question #1

1. What current position do you hold?		
Answer Options	Response Percent	Response Count
Chancellor/Institutional CEO (District)	17.6%	6
President (Single District)	20.6%	7
President (Multi-campus)	23.5%	8
Administrator (Vice President/Dean/Director/Other)	38.2%	13
<i>answered question</i>		34
<i>skipped question</i>		0

A high number (n=13, 38.2%) of administrators responded to the survey because they were the most knowledgeable regarding financing methods for their institution. Another reason for the high response rate was due to new or outgoing college presidents that were not present during the time of the study. From the 34 responses from question #1, two groups were categorized: community colleges that use GO bonds and other means to finance capital projects, and community colleges that do not use GO bonds to fund capital projects.

The next survey question (#2) addressed the Grand Research Question regarding how college leaders financed capital projects (Table 4-2). The purpose for this question was to create a data set for each community college district in how they fund capital improvements.

Grand Research Question: What types of financing methods are used by community college leaders to construct, renovate, or expand campus facilities? The first part of the survey was to obtain background information on the type of leaders who answered the question as shown in Table 4-2.

Table 4-2. Survey Question #2

2. How does your college fund new campus facilities, or renovations? Check all that apply.		
Answer Options	Response Percent	Response Count
Pay as you Go (property tax revenue)	61.8%	21
Revenue Tuition Bonds	67.6%	23
General Obligation Bonds	76.5%	26
Energy Savings	26.5%	9
Public/Private Partnerships	52.9%	18
Other	26.5%	9
Other (please specify)		8
answered question		34
skipped question		0

Table 4-2 illustrates that college leaders who responded to the survey were found to use general obligation bonds (n=26, 76.5%) and revenue bonds (n=23, 67.6%) to finance capital projects. Most of the community colleges fund their campus projects by general obligation and revenue bonds. Those who responded to *other* (n=8) were from property tax revenues held in a reserve fund then later transferred to a plant maintenance account for capital project improvements. One participant (n=1) indicated that he/she funds some of his/her capital projects through donations.

As mentioned in the literature review, data are not recorded, collected, or tracked in how community colleges finance capital projects as a whole, only individual colleges record this type of data through the use of financial statements. The Texas Higher Education Coordinating Board receives Annual Financial Reports (AFR) from community colleges each year, but does not breakout or keep track of debt revenue. Because of this gap, the researcher created a matrix to show community college districts that use general obligation bonds.

The state of the economy had little effect on postponing capital projects as shown in Table 4-3, survey question #3. With this noted, the study occurred between 1998 and 2008 before the economy took a dramatic downturn in 2009. Several elections occurred during 2008, and one non-GO bond college did attempt a general obligation bond election, but failed in 2009 according to the survey response. This may have resulted in taxpayer's ability to afford a tax increase due to high unemployment rates across the

nation and the global economy as whole.

Table 4-3. Survey Question #3

3. Does the current economic climate effect your decision to postpone expanding or renovating campus facilities within the next two years?		
Answer Options	Response Percent	Response Count
Yes	26.5%	9
No	64.7%	22
Not sure	8.8%	3
<i>answered question</i>		34
<i>skipped question</i>		0

As highlighted in survey question #3, Table 4-3, (n=22, 64.7%) of the respondents stated *no*, that the current state of the economy does not hinder their decision to move forward in campus expansions or improvements. One GO bond college interviewed passed a bond election by a narrow margin (51% to 49%) a few days after 9/11.

We had all the seniors against us, the anti-tax voters. One county with a low population and very poor carried the vote. We also had very little PAC money. We didn't use opinion polls last time. It was remarkable that we won, even winning a few days after 9/11.

The following survey questions (#4-9) were developed to obtain background information and establish a timeline for community colleges districts that have held GO bond elections and possibly non-GO bond colleges that might be thinking about planning in the future.

Table 4-4. Survey Question #4

4. How likely will your college plan for a General Obligation (GO) bond measure within the next 12 months? Check one.		
Answer Options	Response Percent	Response Count
Most likely	11.8%	4
Not likely	85.3%	29
Not sure	2.9%	1
answered question		34
skipped question		0

In Question #4, the response rate of 85.3% (n=29) indicated that a large number of the colleges surveyed did not plan on holding bond elections during the next 12 months. An explanation of the *not likely* responses point to several bond elections held during 2003 to 2008. Data collection were obtained through quantitative and qualitative research methods, telephones calls, and email correspondence found that 20 out of the 25 college districts that use general obligation bonds to finance capital projects held and successfully passed bond referendums during the past six years.

As depicted in Table 4-5, question #5, college leaders were asked: Will your college participate in a GO bond election during the next five years? As the literature in Chapter 2 suggests, enrollment trends for community colleges are rising throughout the nation and in the state of Texas. As a result, college leaders are looking to expand and renovate their campus facilities to accommodate a growing number of students. Since the state does not provide funding for construction or renovation of campus facilities, college leaders must rely on taxpayer support or revenue bonds to fund the majority of capital projects.

Table 4-5. Survey Question #5

5. Will your college participate in a GO bond election in the next five years?		
Answer Options	Response Percent	Response Count
Yes	26.5%	9
No	35.3%	12
Not sure	38.2%	13
<i>answered question</i>		34
<i>skipped question</i>		0

The *yes* (n=9, 26.5%) responses in Table 4-5 were mostly from college districts that have been successful in passing bond elections previously. Due to their enrollment growth as stated during the personal qualitative interviews, expanding campus facilities was necessary to hold a bond measure within the next five years. The *not sure* responses (n=13, 38.2%) reflected the majority of participants from rural, non-GO bond colleges. The *no* responses (n=12, 35.3%) were a mix of urban, suburban, and rural colleges that represented GO and non-GO bond community college districts.

In determining the population size of participants/districts to be sampled, survey questions #6-9, reflected in Tables 4-6 to 4-9, was an important factor regarding phase-two of the study. As mentioned earlier, the matrix created by the researcher was developed to distinguish between GO bond and non-GO bond community college districts.

In Table 4-6, survey question #6, shows that the majority of respondents (n=25, 73.5%,) did participate in general obligation bond referendum bond campaigns during 1998-2008. The data suggested 14 out of the 50 community college districts that *did not*

respond to the survey were from non-GO bond colleges. This lack of response could be attributed to the title of the survey: *Survey of Texas Community Colleges Capital Project Financing and Bond Referendums*. College leaders viewing their email with this particular title in the subject heading might have concluded that this topic did not apply to them directly.

Table 4-6. Survey Question #6

6. Has your college participated in GO bond campaigns on your campus within the past 10 years (1998 – 2008)?		
Answer Options	Response Percent	Response Count
Yes	73.5%	25
No	26.5%	9
<i>answered question</i>		34
<i>skipped question</i>		0

Survey questions #7-9 depicted in Tables 4-7 through 4-9 were designed to exclude respondents if they were not employed, participated, or were directly involved in planning for a bond referendum elections during 1998 to 2008.

Table 4-7. Survey Question #7

7. Were you employed with a public Texas community college district from 1998 to 2008?		
Answer Options	Response Percent	Response Count
Yes	94.1%	32
No	5.9%	2
<i>answered question</i>		34
<i>skipped question</i>		0

Survey question #7 revealed (n=32, 94.1%) were indeed working for a Texas community college during the time of the study.

Table 4-8. Survey Question #8

8. Were you employed at your present institution during the last GO bond election?		
Answer Options	Response Percent	Response Count
Yes	64.7%	22
No	23.5%	8
N/A	11.8%	4
If "NO" please include position held and college name		9
<i>answered question</i>		34
<i>skipped question</i>		0

In survey question #8, participants who responded *n/a* did not use GO bonds to fund capital projects. Therefore, the question design could have been worded differently to reflect leaders who were new in their positions of non-GO bond colleges.

As noted in Table 4-9, the number of respondents (n=21, 61.8%) were directly involved in the bond election process. This percentage could be attributed to leadership responsibility during the time the election took place, and who were new to their college.

Table 4-9. Survey Question #9

9. Were you directly involved with a general obligation bond referendum process at a Texas community college district from 1998 to 2008?		
Answer Options	Response Percent	Response Count
Yes	61.8%	21
No	38.2%	13
<i>answered question</i>		34
<i>skipped question</i>		0

As discussed in Chapter 3 and shown in Figure 3-1, the number of community college districts categorized by urbanicity were 37 rural, 7 urban, and 6 suburban. As shown in Table 4-9, 34 out of 65 college leaders responded to the survey. A breakdown of the survey respondents is shown in Table 4-10.

Table 4-10. Sample Population Selection Criteria

Sample Selection	
# Surveyed	
CEO/Administrator	65
Responded	34
College Districts	
Responded	27
GO Bond Districts	16
Non-GO Bond Districts	11
Surveys Completed	32
Incomplete	2
Met Criteria	14
Sample Selected	12

Note: Sample selection of community colleges included:
 Rural (Brazosport, Howard, Midland, McLennan, Northeast Texas, and Temple.
 Suburban (Colin, Lonestar, and San Jacinto). Urban (Austin, Houston, and South Texas).

The sample selection of 12 college leaders representing their districts provide the following analysis: Of the 37 rural colleges, 17 responded to the survey; 8 were from colleges which utilized GO bonds, and 9 were from non-GO bond colleges. Of the 8 GO bond colleges, two administrators were excluded from the sample population for the following reasons: One college administrator did not complete the survey entirely, and the other administrator was hired in 2009 after the date of the study. All of the 7 urban

community college districts did respond to the survey, five were from GO bond colleges, and two were non-GO bond colleges. Two of the five GO bond colleges did not finish the survey and stopped after the first section, thereby, they were excluded them from the population sample to be investigated. Three out of the six suburban community college districts responded and completed the survey correctly.

Overall, 16 out of 27 community college district respondents were from GO bond colleges. Of the 16, two GO bond colleges had new or outgoing leaders and two of the colleges did not finish their surveys as mentioned earlier. The rationale behind this breakdown between urban, suburban, and rural college districts was to eliminate any potential biases by weighting the sample size. As a result, 12 GO bond colleges were found to be viable participants. This established the baseline for the sample population that met the criteria to investigate community college leaders that participated in bond elections from 1998-2008.

The sample size of 12 community college leaders from their respective districts consisted of two suburban chancellors (n=2), four urban and four rural presidents (n=8), and two rural administrators (n=2). The weighting of more rural aligns with the overall population of 37 rural college districts. Further, only seven responded to the survey.

Phase Two Survey Findings

The second part of the study investigated 12 community college districts in-depth in the process and strategies used in passing a general obligation bond referendum. Survey questions #10-15 and #17-19 will answer the research question. As discussed

previously, 12 community college districts matched the criteria in establishing a sample size.

Research Question One

What *factors* do college CEOs and executive leaders (chancellors, presidents, and administrative officers) emphasize in terms of passing a bond referendum for each of the community college districts? In the research question, the term *factors* included planning *for* and implementing *of* processes that lead to successful bond referendum passages. Related to planning for bond measures, are priorities that align with the campus master plan in terms of facility needs. These needs often include campus structures for new programs, expanded enrollments, and updated classrooms and/or labs for students. A factor might also be a strategy, which includes the time of year to place a measure on the ballot or how many times a college has passed or failed a bond election. These types of factors are addressed in research question one.

The need for passing a bond referendum when college resources are scarce becomes a critical factor during the planning of bond campaigns. A general concern and priority for many community colleges throughout the nation and locally is *infrastructure* reported by the Community College Times (2008). The article found that “many campus facilities are aging and crumbling, requiring an infusion of \$100 billion for repairs and new buildings (para. 10). This is largely attributed to outdated, deteriorated, and aged community colleges built in the 1960s and early 1970s, which require significant capital improvements. Therefore, college CEOs and board members initiate planning for a bond

measure to fund campus improvements and to accommodate enrollment growth.

Table 4-11. Survey Question #10

10. What constituency member or group initiated planning for a college bond measure? Please check "all" that apply.		
Answer Options	Response Percent	Response Count
Board Member	58.3%	7
Chancellor/President	100.0%	12
Community Leader/Member	41.7%	5
Faculty/Staff Member	33.3%	4
Other	8.3%	1
Other (please specify)		1
<i>answered question</i>		12
<i>skipped question</i>		0

Of those surveyed, 100% of the college CEOs (chancellors or presidents) initiated planning during bond campaigns. Board members and community leaders were also instrumental in helping the chancellor or president plan for an upcoming bond election. Those who responded to *other* (n=1) commented on community engagement.

The top priorities for planning for a bond referendum shown in Table 4-12, survey question #11 by survey participants were: 1) enrollment growth, 2) campus renovations, and 3) new program offerings. As discussed in Chapter 2, more students are choosing community colleges over universities for their first two years because of cost convenience, and flexibility. The majority participants (n=9) responded by 75% that a top priority for planning for a bond referendum was due to enrollment growth. The next critical need reported by participants was renovation of campus facilities.

Table 4-12. Survey Question #11

11. What was the top priority(s) of planning for a bond referendum? Please rate the following from the highest to lowest priority, using 5 (high priority) and 1 (low priority).						
	5	4	3	2	1	Response Count
Expand facilities due to enrollment growth	75.0% (9)	16.7% (2)	0.0% (0)	0.0% (0)	8.3% (1)	12
Renovate facilities due to enrollment growth	58.3% (7)	25.0% (3)	0.0% (0)	0.0% (0)	16.7% (2)	12
New program offerings (curriculum related)	50.0% (6)	8.3% (1)	25.0% (3)	8.3% (1)	8.3% (1)	12
New program offerings (student service related)	41.7% (5)	16.7% (2)	16.7% (2)	16.7% (2)	8.3% (1)	12
Build new library	25.0% (3)	16.7% (2)	8.3% (1)	16.7% (2)	33.3% (4)	12
Build new administrative offices	8.3% (1)	8.3% (1)	8.3% (1)	0.0% (0)	75.0% (9)	12
Build a learning center (labs and classrooms)	58.3% (7)	16.7% (2)	16.7% (2)	0.0% (0)	8.3% (1)	12
Build a performing arts center	8.3% (1)	8.3% (1)	0.0% (0)	0.0% (0)	83.3% (10)	12
Other (please briefly explain)						4
<i>answered question</i>						12
<i>skipped question</i>						0
Other (please briefly explain)						
1	Rehab Center, renovation/restoration of existing buildings.				Aug 31, 2009 4:33 PM	
2	Completed a performing arts center before this project (bond ref)				Aug 31, 2009 5:37 PM	
3	Workforce Center				Sep 26, 2009 3:09 PM	
4	Renovate libraries and build one stop shops				Sep 26, 2009 6:31 PM	

As shown in Table 4-12, survey question #11, facility expansion and renovation due to enrollment growth, and the construction of learning centers with classrooms and lab space, were ranked highest. Administrative and performing arts center construction received the lowest scores.

Table 4-13. Survey Question #12

12. How many times has your college put a GO bond measure on the ballot within the last 10 years (1998 to 2008)?		
Answer Options	Response Percent	Response Count
One	50.0%	6
Two	50.0%	6
Three	0.0%	0
Four or more	0.0%	0
<i>answered question</i>		12
<i>skipped question</i>		0

As a follow-up to the survey, personal interviews were conducted. Survey question #14 revealed that one college did answer the question incorrectly, and did hold a bond measure three times during 1998 to 2008. The correct response counts should report the following changes:

Response Count: One (n=6)

Response Count: Two (n=5)

Response Count: Three (n=1)

Survey questions #13 and #14 were reported to be accurate according to follow-up interviews and written documents. Three (n=3) out the (n=12) colleges investigated who failed elections as shown in survey question #13, returned the following year and passed their elections.

Table 4-14. Survey Question #13

13. How many times has the college failed a bond measure in the past 10 years?		
Answer Options	Response Percent	Response Count
One	25.0%	3
Two	0.0%	0
Three	0.0%	0
Four or more	0.0%	0
None	75.0%	9
<i>answered question</i>		12
<i>skipped question</i>		0

Table 4-15. Survey Question #14

14. How many times has the college passed a bond measure in the past 10 years?		
Answer Options	Response Percent	Response Count
One	75.0%	9
Two	25.0%	3
Three	0.0%	0
Four or more	0.0%	0
None	0.0%	0
<i>answered question</i>		12
<i>skipped question</i>		0

Question #14 illustrates the number of times a college has passed a bond measure in the last decade. As mentioned earlier, junior/community college districts can only hold bond elections twice a year (November and May). In addition, it is also costly to plan for a bond campaign and takes a substantial amount of resources in the form of people and money. Therefore, it is imperative that colleges that choose to plan for an election, do it successfully the first time.

Table 4-16 highlights the importance of forming a planning committee and

having appropriate funds to carry out the strategic plan for bond measures reinforced the literature of Lifto and Senden (2004) and Holt (2002) views of forming a planning committee to carry out the election plan. These theorists support key evidence that developing an organized, strategic plan of action can increase the probability of success.

Table 4-16. Survey Question #15

15. What planning processes of the bond referendum were effective in the most recent campaign? Please rate each of the following using 5 (most effective) and 1 (least effective).						
	5	4	3	2	1	Response Count
Change in college leadership (chancellor or president)	16.7% (2)	0.0% (0)	16.7% (2)	0.0% (0)	66.7% (8)	12
Change in board leadership	0.0% (0)	0.0% (0)	8.3% (1)	8.3% (1)	83.3% (10)	12
Hiring of a consulting/marketing firm	25.0% (3)	25.0% (3)	8.3% (1)	0.0% (0)	41.7% (5)	12
Forming a planning committee	66.7% (8)	16.7% (2)	8.3% (1)	0.0% (0)	8.3% (1)	12
Political Action Committee (PAC) funding	50.0% (6)	16.7% (2)	0.0% (0)	16.7% (2)	16.7% (2)	12
Voter opinion polls	33.3% (4)	0.0% (0)	25.0% (3)	0.0% (0)	41.7% (5)	12
Other (please specify)						0
answered question						12
skipped question						0

The review of literature validated responses by leaders who believed that forming a planning committee or taskforce, coupled with appropriate funding was critical during the planning process of bond referendums. Of the participant's surveyed, (n=8, 66.7%) and (n=6, 50%) forming a planning committee and PAC funding were most effective.

Survey question #16 will address survey question two, and will follow question #19.

The discussion in survey question #15 reinforces the importance of community outreach efforts to articulate why taxpayers should vote for bond elections. College leaders cannot *advocate* for a bond election, but they can *educate* the general public on the purpose of why one is needed.

Table 4-17. Survey Question #17

17. Please rate which form of community outreach/communication methods were effective during the planning phase of the GO bond campaign: Use 5 (most effective) and 1 (least effective).						
	5	4	3	2	1	Response Count
Presentations at civic organizations	91.7% (11)	0.0% (0)	8.3% (1)	0.0% (0)	0.0% (0)	12
Town hall meetings	41.7% (5)	8.3% (1)	33.3% (4)	8.3% (1)	8.3% (1)	12
Homeowner/social meetings	16.7% (2)	8.3% (1)	33.3% (4)	25.0% (3)	16.7% (2)	12
Door to door	16.7% (2)	8.3% (1)	0.0% (0)	16.7% (2)	58.3% (7)	12
Telephone campaign	25.0% (3)	16.7% (2)	16.7% (2)	8.3% (1)	33.3% (4)	12
Media (print/electronic/billboard)	41.7% (5)	50.0% (6)	0.0% (0)	0.0% (0)	8.3% (1)	12
Other (please specify)						0
answered question						12
skipped question						0

Presentations at civic functions for the majority of college leaders (n=11, 91.7%) regardless of urbanicity were found to be most effective. Leaders (n=5, 41.7%) were from urban and suburban colleges who found capturing a large group in a town hall meeting venue was effective for their community.

Survey questions #18-19 are interrelated and will be discussed accordingly. The

responses reveal that college CEOs (e.g., chancellors and/or presidents) have the primary responsibility in planning and implementing campaign activities for bond elections. In the previous question, survey question #15, planning for a bond election was most critical, and many times, the CEO has the highest responsibility in carrying out this type of direction. In few occasions, their job was at stake:

I didn't know why the last one failed, nor did I really know how to pass one either, but I was going to find out. To some degree fair or not, my success as a chancellor hinged on getting a bond passed. (Chancellor, urban GO-bond college)

Table 4-18. Survey Question #18

18. Who had the primary responsibility for "planning" the most recent GO bond campaign activities?	
Answer Options	Response Percent
College chancellor or president	75.0%
Committee chair	8.3%
Committee volunteers	8.3%
Consulting firm	0.0%
Other	8.3%
Other (please specify)	

Table 4-19. Survey Question #19

19. Who had the primary responsibility for "implementing" the most recent GO bond campaign activities?	
Answer Options	Response Percent
College chancellor or president	83.3%
Committee chair	0.0%
Committee volunteers	8.3%
Consulting firm	0.0%
Other	8.3%
Other (please specify)	

Tables 4-18 and 4-19 results found that in both instances, college CEOs had the primary responsibility in carrying out planning and implementation duties for the bond election campaign. The *other* category of (n=1, 8.3%) represented in both tables was a community outreach comment enlisting a community task force to carry out the election plan.

Research Question Two

What demographic variables of selected institutions influenced successful passage during the past ten years of bond referenda? Table 4-20, survey question #16 addressed this research question. Demographic and/or socioeconomic variables are often the determining factor of passing or failing a bond election. College leaders must know their support base/endorsements for expanding or improving campus projects.

Table 4-20. Survey question #16

16. What demographic and/or socioeconomic variables were most/least effective during the bond measure? Please rate each of the following statements: 5 (most effective) and 1 (least effective).						
	5	4	3	2	1	Response Count
Ethnicity	16.7% (2)	0.0% (0)	25.0% (3)	41.7% (5)	16.7% (2)	12
Age	8.3% (1)	16.7% (2)	33.3% (4)	25.0% (3)	16.7% (2)	12
Income	16.7% (2)	8.3% (1)	41.7% (5)	16.7% (2)	16.7% (2)	12
Educational level	16.7% (2)	16.7% (2)	41.7% (5)	8.3% (1)	16.7% (2)	12
Parents with school-aged children	8.3% (1)	50.0% (6)	25.0% (3)	8.3% (1)	8.3% (1)	12
Senior population	8.3% (1)	33.3% (4)	25.0% (3)	16.7% (2)	16.7% (2)	12
Home owners	8.3% (1)	33.3% (4)	33.3% (4)	8.3% (1)	16.7% (2)	12
Tenants of rental property	0.0% (0)	8.3% (1)	16.7% (2)	33.3% (4)	41.7% (5)	12
Other (please specify)						1
answered question						12
skipped question						0
Other (please specify)						
1	We simply included the entire district population in this matter				Aug 31, 2009 4:33 PM	

The responses of parents with school-aged children, the senior population, and homeowners were more significant in frequency responses than age or ethnicity as shown in Table 4-20. This may be attributed to the anti-tax group of supporters who are typically seniors, and are against tax increases. Parents of school-aged children will often choose to vote for a school bond election than a two-year college according to personal interviews by college leaders. It was not surprising that tenants of rental

property (n=5, 41.7%) were least effective rating in passing a bond election. This is largely because tenants do not typically pay property taxes.

Research Question Three

What *election strategies* are common to each of the community college districts?

Although the population sample was small, some common themes emerged out of the survey and qualitative analysis. This research question will address survey questions #20-24 that college leaders perceive to be important during campaign events regarding general obligation bond elections.

To determine the importance of using polling agencies or strategic marketing firms during bond campaigns, Table 4-21, question #20 asked: Were any opinion polls conducted to gauge voter's opinions before the planning phase of the latest bond measure?

Hiring outside opinion poll agencies and consulting firms were found to be most effective in urban and suburban community college districts as illustrated in the frequency responses in Table 4-23. This strategy was found to be least effective by rural colleges. Responses to questions #20 and #21 reflected that of larger urban and suburban colleges with large enrollments contracted with outside marketing firms and polling agencies. Larger districts have access to resources than do smaller institutions. They also have a larger area to cover for media events, while smaller, rural colleges tend to rely on local support than external opinion polls or agencies.

Table 4-21. Survey Question #20

20. Were any opinion polls conducted to gauge voter's opinions before the planning phase of the latest bond measure?		
Answer Options	Response Percent	Response Count
Yes	41.7%	5
No	58.3%	7
<i>answered question</i>		12
<i>skipped question</i>		0

Table 4-22. Survey Question #21

21. If "Yes," were the opinion polls conducted by the college or outside polling agency?		
Answer Options	Response Percent	Response Count
Internal (college)	20.0%	1
External (outside agency)	80.0%	4
Both	0.0%	0
<i>answered question</i>		5
<i>skipped question</i>		7

Table 4-23. Survey Question #22




22. Were the polls a good outcome predictor of the bond election?		
Answer Options	Response Percent	Response Count
Yes	100.0%	4
No	0.0%	0
Not sure	0.0%	0
<i>answered question</i>		4
<i>skipped question</i>		8

Further analysis revealed that the (n=4, 100%) responses were that of urban and suburban colleges. Responses to question #22 reflected that poll outcome predictors had a direct impact on winning bond elections. As shown in survey question #21, the

majority of colleges that hired external polling agencies to predict bond measures were urban and suburban institutions with a large population area and with substantial resources to afford such firms.

Question #23 (Table 4-24) asked college leaders their opinions what time of year was most effective in placing a bond measure on the ballot to maximize the greatest number of votes. The participants' responses were split in how they answered this question. Depending on any organized opposition to the bond measure, or competition among other governmental agencies, including school districts, each community college district's leadership and planning team had insight into which time of year would work in their favor to win a bond election. This question was reinforced by the qualitative interviews and personal statements shared by the participants following the survey questions.

Table 4-24. Survey Question #23

23. In your opinion, what time of year was most effective in placing the bond measure on the ballot to maximize the greatest number of votes?			
			Response Count
			Response Percent
Fall		50.0%	6
Spring		33.3%	4
Special Election		0.0%	0
Other		16.7%	2
Other (please specify)			2
answered question			12
skipped question			0

The responses for question #23 indicate that 50% (n=6) of the college leaders surveyed felt that fall general elections were effective in obtaining a higher voter turnout. Special elections are no longer allowed for school and junior/community college districts, but did occur during the time frame of the study. School districts include junior and community colleges in the state of Texas. They are required to hold bond elections on the dates of May or November of the uniform election dates. If a school board approves a maintenance and operations (M&O) tax rate above \$1.04, the district must hold an election for voters to approve or reject the higher tax rate (Texas Education Code, §130.122, and Texas Election Code, §41.001(a)).

The *other* category had a 16.7% response, which consisted of the following remarks from the open-ended question:

- *General election warranted higher voter turnout.*
- *Most important variable is what other ballot items are before the voters, as that determines what is likely to be the turnout and the predominant groups who will vote.*

How a college plans for a bond election is critical. As important, are the strategies used to successfully pass a bond measure, especially for citizens who are not in support of higher taxes likely to impact the outcome? The last survey question (#24) depicted in Table-26 is one of the most important findings in this study. Without a strategic plan of election activities where processes are carefully deployed, winning a bond election is difficult. One of the participants explained:

Planning for a bond election is like planning for a presidential campaign. The process has become more sophisticated over the years; more money, more resources than most colleges realize. We look to outside agencies for help. (College president, suburban GO bond district)

After a comprehensive review of the data in the question, there were two significant findings that addressed research question three: college leadership, and endorsements from civic leaders that are discussed below.

Table 4-25. Survey Question #24

24. Below are a number of bond committee attributes and activities that are suggested to impact bond election results. Next to each of the following activities, please indicate whether you feel the item was crucial to the positive outcome of the bond election(s) at your college, in relation to the other attributes and activities. Use 5 (strongly agree) 1 (strongly disagree) and N/A (not applicable).							
	5	4	3	2	1	N/A	Response Count
College leadership was critical in passing the bond measure	83.3% (10)	16.7% (2)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	12
Endorsements from prominent citizens/community groups were effective	91.7% (11)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	8.3% (1)	12
Town Hall meetings were most effective	25.0% (3)	25.0% (3)	33.3% (4)	8.3% (1)	8.3% (1)	0.0% (0)	12
Supportive voters and/or specific areas were primarily targeted	50.0% (6)	25.0% (3)	16.7% (2)	0.0% (0)	0.0% (0)	8.3% (1)	12
The senior vote determined the passage or failure of the bond measure	16.7% (2)	8.3% (1)	50.0% (6)	8.3% (1)	8.3% (1)	8.3% (1)	12
Resources were used to sway unsupportive voters	0.0% (0)	16.7% (2)	33.3% (4)	16.7% (2)	16.7% (2)	16.7% (2)	12
Campaign was low key, but persistent	16.7% (2)	33.3% (4)	8.3% (1)	8.3% (1)	8.3% (1)	25.0% (3)	12
Results of the last election were analyzed	16.7% (2)	41.7% (5)	25.0% (3)	0.0% (0)	8.3% (1)	8.3% (1)	12
Paid consultants played an important role of passing the bond referendum	16.7% (2)	16.7% (2)	16.7% (2)	0.0% (0)	8.3% (1)	41.7% (5)	12
Involving the community before the planning phase was critical in the passage of the bond referendum	50.0% (6)	41.7% (5)	8.3% (1)	0.0% (0)	0.0% (0)	0.0% (0)	12
The health of the economy was a factor in the passage of the bond referendum	33.3% (4)	41.7% (5)	25.0% (3)	0.0% (0)	0.0% (0)	0.0% (0)	12
	answered question						12

In Table 4-25, the highest number of responses found to be important among college leaders, were endorsements by prominent business and civic leaders. A vast majority of participants (n=11, 91.7%) perceived support from community leaders and college leadership (n=10, 83.3%) had the greatest impact in winning bond elections. This appears to be attributed to positive relationships among board members and college CEOs who form meaningful and lasting relationships built on trust and support.

Although paid consultants ranked the lowest (n=5, 41.7%) among the survey response, the results from the qualitative interviews suggested otherwise. The majority of participants who responded to the survey from urban and suburban community colleges districts did use external consultants in preparing for a bond election. Based on their responses, most felt consultants played an important role in winning bond campaigns. Because of small enrollment and service areas, rural colleges did not find it necessary to hire outside consultants to help with campaign activities. This was largely due to limited resources and rural colleges tend to be more connected to their local constituency groups.

Another important factor was the senior vote. The survey response indicated that (n=6, 50%) of college leaders felt the senior vote was important in determining the passage of a bond election; however, the qualitative interviews suggested that much of their resources were targeted toward two groups: seniors and civic organizations.

Summary of Survey Findings

The summary of findings from the survey questionnaire will be discussed in-depth in the next chapter, and will provide answers to the research questions outlined in this study.

Interviewee Comments

Follow-up interviews from survey responses enhanced the validity on processes utilized in general obligation bond campaigns by community college districts. To draw upon initial references from the survey results and meaning of responses by the participants, it was necessary to conduct personal interviews. As mentioned during the description and analysis of survey results, some responses were incorrect (e.g., bond passages or failures), causing irregularities. The need for further research in the form of qualitative analysis was necessary to verify the conclusions of this study. Miles and Huberman (1994), Anfara and Mertz (2006) explained in their work, that conclusions may not appear until the data collection is over. Miles and Huberman assert:

The meanings emerging from the data have to be tested for plausibility, their sturdiness, their “conformability” and their validity. Otherwise, the researcher is left with interesting stories about what happened, unknown truth, and utility. (1994, p. 11)

To develop an organized system and analyze interviews to understand their meanings, Davis (n.d.) outlines the following procedures to conduct qualitative research:

- Data analysis. Interviews are transcribed and "meaning units" are identified. These are organized into higher-order themes and, finally, over-arching themes,

those that cannot be meaningfully combined any more.

- Reporting. Themes are used to reconstruct or describe the underlying structure of the experience in a way that is faithful to the informants' experiences. Themes, examples, and frequencies are used but inferential statistics are rarely useful. Implications of the data, e.g., for care giving or policy-making, are given also.
- Cross-checking. The description is confirmed by showing it to informants, to others who have had similar experiences, and to "experts" who know about the experience. All should recognize the description as representing the experience. The researcher strives to have informants say, "That describes my experience better than I could. (para. 3-4)

Davis contends that the subjects (e.g., participants) usually are a small number, ranging from 10 to 15, of the data from the interview responses. As in this study, 11 participants were interviewed. Five related themes emerged from the personal interviews that supported processes and strategies that leaders' view as effective, they included: enrollment, leadership, planning, community relationship building, and election strategies. Clearly, the following perceptions are worth noting from leaders who have successfully participated in successful bond elections. Their comments include the following:

GO Bond College Interviews

Enrollment Growth

- *A tremendous growth curve over the last eight years spurred us to have bond elections.*
- *We have continued to experience a huge growth in enrollment.*
- *The general growth of our community has changed the economic landscape of the country, and we need to address 21st century thinking.*

- *We had a 23% enrollment growth this fall. We are announcing to the public that our master plan calls for projected enrollment to be 40,000 by 2020, and we have to plan for that growth.*
- *We grew way beyond normal growth, more than 5,000 students per year. This year alone it was 7,500.*
- *The growth is so phenomenal.*

A top priority for many leaders in planning for a bond referendum was the need to expand or renovate campus facilities due to enrollment growth. Without appropriate space for classrooms or upgraded lab facilities, administrators most likely would have to turn away students. In turn, this defeats the purpose (e.g., mission) of the community college in providing access to students who want to learn. As discussed throughout the study, a growing number of individuals are choosing to enroll in community colleges because of low cost, additional training, flexibility, and preparation for university transfer.

The trend in enrollment growth is supported by Flanigan, Richardson, and Stollar (1995) and Biemiller (2008) findings that construction of new buildings to accommodate more students, along with outdated structures are legitimate needs in terms of preparing for a bond election. Typically, property tax increments and revenue bonds are used to fund smaller, one-project improvements. New buildings or significant renovations that require costly infrastructure and technology upgrades usually cannot be funded by raising student fees or from property reserve funds alone. It is simply unfeasible due to the scope of the project and cost. Further, state funding only reimburses community colleges for student contact hours, and not campus facilities. The responsibility then

shifts to taxpayer support to fund larger or multi-facility capital improvements. Overall, enrollment growth in the classroom and online was a significant factor when considering holding a bond election to fund capital improvements.

Leadership

- *Our Board of Trustees are all involved in local service organizations and were a tremendous benefit to us in passing several GO bonds.*
- *Leadership can come from various forms. The community drove this campaign, it was the reason for our success.*
- *One of our formers students, who was a baseball player, took charge and was the committee chair for our bond campaign.*
- *Our chancellor did an excellent job in getting out in the community and building relationships. He really transformed the philosophy of our approach to our bond campaign.*

Leadership effectiveness in developing trust, stability, and openness to the public for their support of bond referendums were found to have the greatest impact between success and failures of bond elections. One college leader found that qualitative research in the use of conducting informal interviews by asking questions and listening to citizen's concerns helped significantly during the planning process, which resulted in a bond passage after losing the previous year.

This type of qualitative method in understanding factors associated with opposition or negative sentiment was critical in outlining effective communication strategies as Holt (2002) suggested for successful bond passages. Leaders who had a

clear and consistent message of why expansion or upgrades were needed for their campuses, were more likely to receive yes votes at the polls.

Planning

- *We planned a year before the general election. But we have always had good relations with our community and never lost an election.*
- *We started setting the stage early, even about setting the stage about changing demographics.*
- *We had planning in place when we lost the last bond election. We did not go out in the smaller communities and talk with them. Our planning strategies failed miserably. The next time we really used data, and we won.*
- *You clearly have to identify what the needs are and clearly articulate what those needs are.*
- *Our community was against raising property taxes and we failed the election in 2001. When the college district was created we promised voters we would never raise property taxes and our message in 2001 was we were going to raise taxes. The next year in 2002, our message to the public was that no tax increase for the bond referendum, and we were able to win over voters.*
- *The seniors are our very large voting group. They were supportive and came on board with us during the planning phase.*
- *The planning needs to involve more than just a few people. On our previous bond elections, the information was not collected in an impartial organized fashion. The message was unclear.*
- *We had three bond elections in the past ten years. We took for granted the win in 2000 passing with 90%, the college really never planned appropriately for the 2006 election. We took for granted that we were good.*
- *When we failed the last election, there was organized opposition. We also had confusion with our name. Part of the success with the last bond election that we won, this had to do with a name change and rebranding of our name. We did a major rebranding campaign and bond campaign all rolled up into*

one. A constant message. By the time the voters went to the polls, they knew who our college was.

- *You have to create openness with the public to vote yes.*

The most important component in preparing for a bond election is the planning process as outlined in the interviews and supported by the literature. Schools and community colleges that have failed miserably lack proper planning. For example, they are not clear how the bond funds will be spent, the ballot language is often too vague, and the overall message lacks a clear centralized theme of why taxpayers should take on more debt to fund projects that are not well defined. Those who had multiple successes in bond elections are supported by the literature in this study. Mathison (1998) contends capacity building that includes local citizens, students, parents, and other vested stakeholders must be involved in the planning process. Carr (2006) reinforces the need for research during the planning phase, and clear communication that focuses on a culture of trust for successful bond campaigns.

Community Relationship Building

- *We got endorsements by our local school superintendents and members of the community.*
- *First, you really have to be a part of the community, live in the community, and have a good track record. It is not about grassroots completely. It is really about the major influencers. You have to know the powerbase and earn your stripes.*
- *I met face to face with the detractors.*

- *You want to be a participant in the community. You want to be connected to all the civic organizations, schools, leaders, and such.*
- *The nursing home residents with a senior citizen vote was our biggest challenge because of the opposition. They took flyers to all the nursing homes and said they were going to lose their homes if our college passed a bond because of higher taxes. So it was extremely important to educate the senior population.*
- *We went around to our key leaders, constituent groups, and said this is our key strategy, what do you think? We wanted their input and support. We also created an advisory group, took them on tours, showing them our needs. I took them on a tour showing them students standing in long lines during peak registration times.*
- *It is about relationship building, the leadership, and grassroots. The taxpayers must know the value and be good neighbors. I want the college to be an asset to the community.*
- *You have to have the politicians, elected officials behind you.*
- *We created a community think tank. We put together a group of leaders and they presented to the board a list of recommendations they thought should be a priority for the college. What we found is that community leaders opposed parking decks and performing arts centers. We made some revisions and changed the names of these projects to make it more palatable for the voters.*

The influence of civic and community leader endorsements to support a bond measure was a major factor during an election. Informing community leaders of the college's intentions as depicted in the interviewee comments were deciding factors between supportive and non-supportive voters. Community members from diverse groups, not just prominent business leaders, or politicians were equally effective in swaying groups of voters. Inclusive strategies of campus activities for bond plans, tax (cost) increases, and how the money will be spent were effective methods to garner support.

Election Strategy

- *The demographics of elections had changed since the last election. We needed to upscale it. We felt we had the support from the community, but we really needed to see it in numbers.*
- *We put together a PAC committee spearheaded by community leaders and school districts.*
- *We hired someone from a Rice University to do some polling, to get a feel. He projected that we would have a significant passage. We ended up having a 72% pass rate.*
- *To convince our anti-tax voters, we did not raise taxes. Instead, we packaged our debt service in such a way to prevent a tax increase for our voting community.*
- *We did internal polls in 2006. We lost the election. The poll questions did not accurately portray the real questions that would win a bond election.*
- *For PAC funds, if you have at least 200,000 citizens, you are going to need at least \$100,000. Maybe over 300,000 to one million in population, probably at least \$200,000 or \$300,000.*
- *Our community has become much more sophisticated and we have 16,000 college graduates out in the community that value education. Our opposers live in the populated county, this could be a real challenge next time.*
- *PAC funds are important. It's hard to be a dollar amount on it depending on the square miles you have to cover and the population. Larger colleges need more money to get the word out. It depends if you have negative perceptions to overcome. If you have that, you need more money.*
- *We are a small rural college and didn't raise much PAC money, what we did was try focus on our student body and employees. We had to be very careful with this, only educate, not advocate. It was also important that people could vote on our campus.*
- *We tied our bond election with the school board election held in the spring, this brought out more voters. We didn't want to compete with a general election.*
- *In our last two elections, we only had about \$5,000 in PAC, one passed in 2000 and one failed in 2006. In 2008, we set the bar at \$100,000, but raised a lot more than that, resulting in a winning election.*

- *You have to reach out to the Chamber, civic organizations, and so on. Use an external polling agency to ask some hard questions to see if you are really part of the community.*
- *I would advise newcomers [leaders] after a failed bond election is to ask a lot of questions and don't rely on internal information. Get an external polling agency.*
- *In 1999, we didn't do the [polling] survey. Our college is thought very highly in our community, but in 2008, we felt elections were becoming much more sophisticated and wanted an outside publicity firm and consultants in our process.*

The community profile of outlining effective strategies for passage of bond elections is unique to each community college that pursues this method to fund capital projects. The leaders' discussion on their approach varied from one institution to the next, making it difficult to establish specific patterns or relationships. What did emerge from the personal interviews were similar patterns between suburban and urban settings than did rural institutions. The larger colleges also had more resources to hire such agencies and the ability to raise substantial PAC fund donations. It was evident that larger institutions in close proximity to a major metroplex were more apt to hire marketing/consulting firms to conduct polls and provide strategic expertise in planning for bond elections. Fairbank (2006) research explains the importance of data to guide voter behavior at the polls.

Clearly, college leaders from suburban and urban districts utilized quantitative and qualitative data methods during the planning processes to access the mood of their community. Those who used this approach found the predications from external agencies were within a few percentage points of the election outcome. College

CEOs/administrators also explained that when their institution puts a multi-million dollar initiative on the ballot, spending a few hundred thousand in political and strategic planning consultation has had a significant return on their investment.

Non-GO Bond Interviews

Texas community college districts that fund capital projects through other financial means (non-GO-bond) were interviewed as a follow-up to the survey. The CEOs who agreed to a follow-up interview, were not part of the 12 colleges studied. However, their beliefs and opinions are important to share on why they choose not to hold general obligation bond elections to fund capital projects on their college campuses. Their comments are noted below:

- *All of our expansion for new buildings has always been done by revenue bonds, the community will not support a general obligation bond. The community leaders have said they will not support any tax increases what so ever and that [our] college stands on its own separate from the community. It is a shame because it is a community college. The culture is such that based on past history, they want the college to stand on its own. They support the ISD more than the college. Our college has the lowest tax rates in the state. It's only about \$1.3 million revenue for a \$72 million dollar budget. We only collect about \$90 per student in taxes and the average is about \$290 in the state. We have 36 buildings, so therefore we are only taxing one county. We are building the relationships now, but it is going to take many years to change the mindset of the community leaders. (College president, rural non-GO bond college).*
- *The problem with a GO bond you have to go to the public for an election. Those are very difficult to get passed in many communities, especially a community with several school districts. We have 12 diff school districts in our service area. It is hard for a community college to be successful; we have to go another route. At some point in the future, we might have to go to a GO bond to do what we want to do with campus facilities. (College president, urban non-GO bond college)*

- *Our enrollment growth is such that we needed to have the taxpayers help us with our campus facilities. Recently, we went out for a bond election and lost. Our planning strategies failed us, I don't think we had enough time to really build relationships in the community. We have always relied on student backed bonds and property tax increments to fund our growth in terms of capital projects. (College administrator, rural non-GO bond college)*

Summary of Interviews

Interviews with chancellors, presidents, and key administrators provided valuable insights and *lessons learned* from planning processes and implementation of election strategies in regards to the passage of bond referendum campaigns. Responses to interview questions revealed the importance of planning in advance, (at least 18 months), the need for a clear vision, adequate PAC funds, strong community support, and participatory, trustworthy leadership for successful election outcomes.

Chapter Summary

The evidence presented in this chapter provided detailed data analysis on capital projects with an emphasis on general obligation bond referendums for Texas community college districts. Results from the data offered answers to four research questions stated earlier in the chapter. The *Grand* research question found that half (n=25) of the 50 community college districts fund their capital improvements by general obligation bonds.

Secondly, research question one found that each community college district is unique and factors vary depending on the size of college and community support. Next, research question two addressed demographic variables in successful passages of bond

elections. The survey and personal interviews suggested that the senior vote and business/political leaders were the most critical in passing an election. Lastly, research question three focused on election process and strategies to win a bond measure. One of the most notable findings was building long-term support in the community and trust. The last chapter (Chapter 5) provides discussion, recommendation, and conclusions from the data analysis and areas for future research.

CHAPTER 5: DISCUSSION, RECOMMENDATIONS, AND CONCLUSIONS

Discussion of Findings

This chapter will discuss findings from Chapter 4. During this discussion, research questions 1-3 will not be addressed individually, with the exception of the *Grand* research question as they have a mutual relationship. Analysis and recommendations from the survey and personal interviews will focus on the following research questions:

Grand Question: What types of financing methods are used by community college leaders to construct, renovate, or expand campus facilities?

1. What factors do college CEOs and executive leaders (chancellors, presidents, and administrative officers) emphasize in terms of passing a bond referendum for each of the community college districts?
2. What demographic variables of selected institutions influenced successful passage during the past ten years of bond referenda?
3. What election strategies are common to each of the community college districts?

Internet surveys were emailed to 65 educational leaders representing 50 Texas community college districts during August 2009. These leaders were the main decision makers of capital finance projects on their campuses and had first-hand knowledge of capital project financing, which included general obligation bond referenda. The overall response rate was 52.3% within a three-week period. Results were documented and

categorized into two groups consisting of: (1) colleges that participated in successful general obligation bond elections during 1998-2008, and (2) those that utilize something other than general obligation bonds for capital improvements.

The study found that Texas community college leaders follow many of the recommendations suggested in the literature concerning processes and strategies used to pass general obligation bond measures. The major differences were establishing a timeframe for consensus building and the amount of PAC funds needed to pass a bond referendum. It was also found that strategic activities most important to leaders were: a) early planning, b) building strong community relationships, c) forming a campaign committee, and d) establishing an appropriate amount of PAC funds.

The following discussion lends itself to helping educational leaders and constituent groups plan effectively for facility and program funding. The analysis and recommendations provide a strategic framework for successful processes and strategies used in general bond elections and capital projects for Texas community college districts.

Discussion of Grand Research Question

The Grand research question addressed the topic of capital projects: What types of financing methods are used by community college leaders for construction, renovation, or expansion of campus facilities? The discussion from this question and its findings must first address how junior/community colleges are funded in terms of capital improvements. The history for community college funding is explained in Hudson's

(2008) dissertation: *A Policy Analysis of Community College Funding in Texas*. His analysis of data and key findings from 1942-2006 pointed to the role of state government in assisting two-year public institutions for instructional costs. Hudson's study reports that before 1941, Texas junior/community colleges were financed by local support of the taxpayers. From 1942-1963, the state's financial responsibility shifted to support the growing number of colleges. Hudson (2008) explains:

The primary responsibility for paying for a college's operation was the local community's through local property taxes, tuition and fees, and auxiliary during this period. Local funds accounted for 71 to 84 percent of total revenue. The state's role was to supplement or assist the colleges. State support was 16 to 29 percent of total revenue. (p. 135)

Case in point: Although the Texas state government *does* pay for instructional support of programs, it does not provide funding to pay for facilities, campus improvements, or renovations. In many cases, this presents challenges for two-year institutions with growing enrollments or areas where citizens are typically *anti-tax* voters, or do not support their local community college.

Some institutions that responded to the survey and personal interviews had success in the *pay-as-you-go* method through annual property tax revenues, but this often is not enough to warrant construction of new facilities or classroom upgrades to accommodate more students or new programs. Further, this method can deplete reserves or fund balances for capital improvements, causing a strain on the financial budget. Revenue bonds were another source of income to build or renovate student-use buildings by using student tuition up to 25% and/or 100% on student fees as collateral (Texas

Education Code, 2003, §130.123). The caveat, however, is that if enrollment does not increase or even declines, this can put the institution at financial risk.

Public/private partnerships, energy performance contracts, and donations are other alternative methods to finance capital improvements. Of the 34 participants that responded to the survey, the vast majority did utilize a combination of these financing methods. Of course, entering into partnerships or performance contracts must be in the best interest of the college with an appropriate return on investment. Otherwise, these types of partnership agreements can have a higher level of risk than revenue bonds.

The data findings from the last decade have illustrated an increased use of public debt by community college districts to fund capital projects compared to previous years. As discussed in Chapter 1, Figures 1-1 and 1-2, community colleges have increased their use of public debt by approximately 170% from 2005 to 2008. This action alone has defined the value of *community college* where the community supports their local college by property tax revenues in the form of general obligation bond referendums. This appears to be a growing trend among larger districts that have exceeded space capacity, which is also referred to as a *space deficit*. For this reason, bond elections have become a popular means to fund campus improvements.

Discussion for Research Questions 1-3

Research questions 1-3 focused on the 12 Texas community college districts studied. A survey questionnaire, personal interviews, and written document analysis were used to collect data for this study. The 12 community college districts that have

successfully passed bond referendums within the last ten years (1998-2008) were surveyed as discussed in Chapter 3. The purpose of the survey was two-fold. The first objective was to identify how colleges finance capital projects. Secondly, the survey was used to understand processes and strategies employed among college leaders in order to pass a bond measure. The information obtained from the colleges investigated offered insight into the factors that effected successful, or sometimes unsuccessful, passages of each college district's bond measures. Document analysis examined official governmental records that contained information regarding bond elections. In addition, electronic newspapers, media releases, and other web-related resources were utilized for this study as mentioned in the literature review in Chapter 2, and related document analysis and discussion in Chapter 5.

Qualitative research in the form of personal interviews was conducted to provide a deeper understanding of the participants' survey responses. The interviews provided a dialogue between the interviewee and the researcher to resolve any survey questions that needed elaboration or understanding. Information was also solicited from key political and business leaders that had knowledge of bond election processes.

Finally, the source of this investigation was general obligation bond referendum processes. Without accurate data, it would be difficult to conduct this type of study. For this reason, the importance of data collection from both the survey and personal interviews validated the findings for this research project. Written reports and data from the Texas Bond Review Board, political testimony, and other related documents also

supported the findings from a theoretical and practical perspective.

This study suggested that each community college is unique within their community and the counties they serve. A history of long-term support was found to be a determining factor in consistently winning bond elections. Community colleges that had lost bond elections found that establishing strong community relationships at least two years before an election was crucial to achieving success the next time around. College leaders who use means other than GO bonds to finance capital projects were found to use a combination of revenue bonds, public/private partnerships, energy savings, and donations. The non-GO bond colleges did indicate that they would hold a bond measure if the culture of the community would change.

The findings from larger colleges, mainly from urban and suburban districts, attributed successful bond passages to having a substantial amount of PAC funds—at least \$100,000—to carry out a bond campaign. Successful election outcomes were also more likely to occur without opposition, organized or otherwise. Credibility problems, such as lack of trust in college leadership, were cited as sources that would result in organized opposition or conflict. A positive image from board members, chancellors, and/or presidents led to public confidence and support during positive outcomes of bond elections.

Voters were more willing to vote *yes* for learning centers, labs, and student services than for performing arts centers or athletic facilities. The size of the bond issue had little significance on *yes* or *no* votes according to the qualitative data. The 12

community districts studied, indicated that holding bond elections in the fall or spring were primarily equal in terms of whether the measure passed or not. Community support was key regardless of the time of year when the election was held. In their survey responses and interviews, college leaders stressed the importance of clear communication to citizens in advocating how tax dollars would be used to fund capital projects. Thus, establishing the importance of a campus master plan during the planning process is vital in passing a bond referendum.

Results from survey data, personal interviews, and documentation identified several significant factors:

1. Most of the bond election activity did occur during the timeframe of the study (1998 to 2008). This activity reinforces the literature review where enrollment growth, new degree programs, and university transfers were the primary driver to support the planning of bond referendums.
2. College leaders agreed that strong leadership, careful planning, supportive board and community members were critical in passing bond elections.
3. The involvement of older citizens (e.g., senior voters) was an important factor in garnering campaign support. College leaders felt that this particular group could have a significant effect on bond elections.
4. Endorsements from key civic leaders were the most significant finding from the study. Civic leaders can have a dramatic effect on swaying groups of voters to either vote *yes* or *no*.

Another area that is important for discussion regarding the research questions and results from the data collection was a *comparative analysis of debt* reported by the Texas Bond Review Board. As discussed earlier, locating bond election results to construct a data set for the sample population to be surveyed was unsuccessful. During the literature review, questions from the researcher centered on bond election data collection and tracking methods. It was found that no state agency performs this task as noted in an email message (Appendix F) from the Texas Bond Review Board. This led the researcher to phrase the question in a different manner. Instead of asking if bond election data are collected and/or tracked, the researcher asked the Texas Bond Review Board for a report of the total debt outstanding for community college districts. This was key to ascertain the validity of the survey findings that 25 college districts do finance via GO bonds as shown in Figure 5-2. Although state agencies do not track bond election results, the Texas Bond Review Board records outstanding debt in the form of general obligation and revenue bonds for public schools and colleges as shown in Figure 5-2. In a comparative analysis between the TBRB's debt report and the researcher's data set of GO bond and non-GO bond colleges, the findings were similar. The exception was two colleges reported by the TBRB were not GO bond debt, but rather maintenance and operation (M&O) debt. The maintenance tax is to help support the campus facilities over the life of the building and is paid annually through property tax revenue by the local taxpayers. Although M&O taxes are considered public debt, it does require approval from voters if the amount increases above the cap.

The information also provided answers into which colleges have public debt other than general obligation bonds. The findings were surprising. During the reconciliation process, it was found the Texas Bond Review Board (2008) reported that 44 of the 50 community college districts have indebtedness from revenue bonds and two urban districts have public debt from lease-purchase obligations. These findings point to innovative/alternative ways community colleges are funding capital projects in their quest to accommodate a growing number of students. The data obtained will further the process in developing a model to help track bond and non-GO bond information. Figure 5-3 illustrates GO bond utilization by geographic region, which is discussed following Figures 5-1 and 5-2.

Figure 5-1. Texas Community Colleges by Region

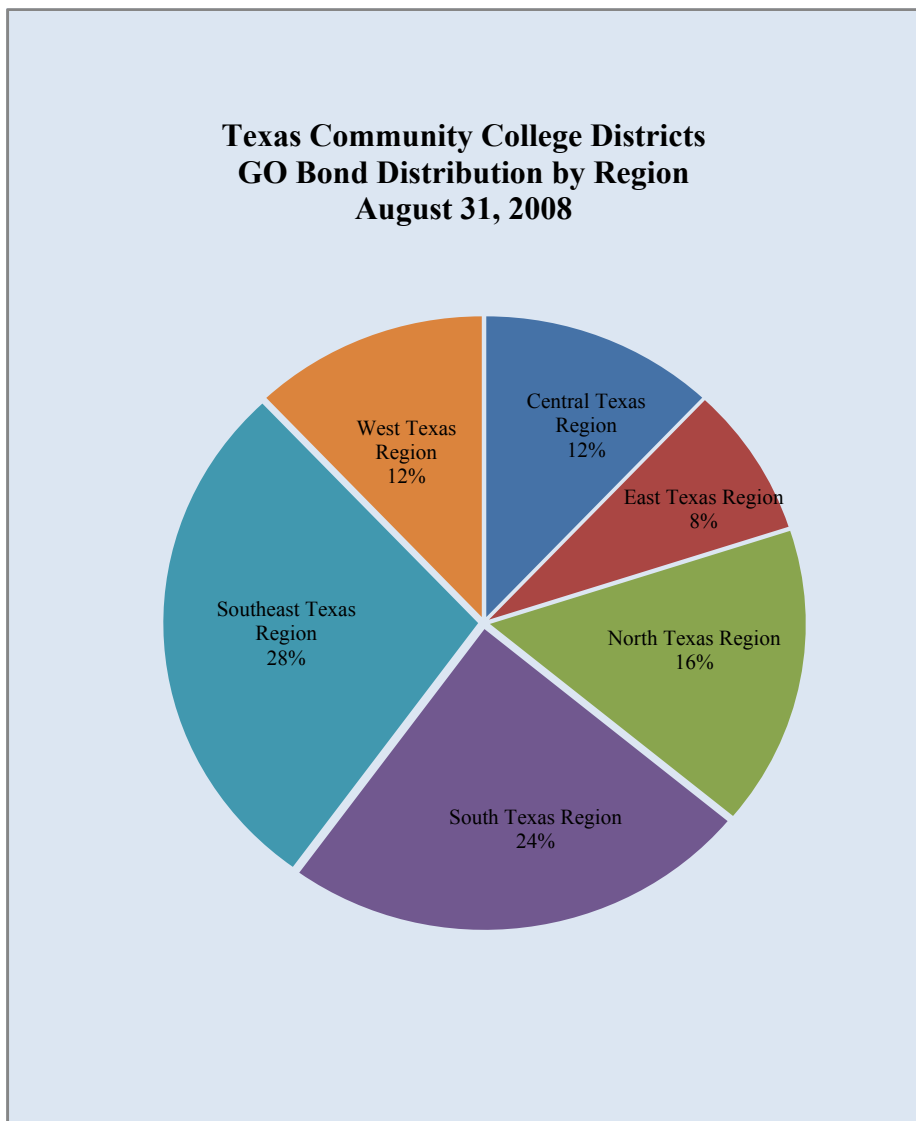
Texas Community College Districts (50) by Region		
¹ District	² Urbanicity 2008	³ GO Bond use 2008
Central Texas Region		
Austin Community College	Urban	<input checked="" type="checkbox"/>
Blinn College	Rural	
Central Texas College	Rural	
Hill College	Rural	
McLennan Community College	Rural	<input checked="" type="checkbox"/>
Navarro College	Rural	
Temple College	Rural	<input checked="" type="checkbox"/>
East Texas Region		
Angelina College	Rural	<input checked="" type="checkbox"/>
Kilgore College	Rural	
Northeast Texas Community College	Rural	<input checked="" type="checkbox"/>
Panola College	Rural	
Paris Junior College	Rural	
Texarkana College	Rural	
Trinity Valley Community College	Suburban	
Tyler Junior College	Rural	
North Texas Region		
Cisco College	Rural	
Collin College	Suburban	<input checked="" type="checkbox"/>
Dallas County Community Colleges	Urban	<input checked="" type="checkbox"/>
Grayson County College	Rural	<input checked="" type="checkbox"/>
North Central Texas College	Rural	
Ranger College	Rural	
Tarrant County College	Urban	
Vernon College	Rural	
Weatherford College	Suburban	<input checked="" type="checkbox"/>
South Texas Region		
Alamo Colleges	Urban	<input checked="" type="checkbox"/>
Coastal Bend College	Rural	
Del Mar College	Rural	<input checked="" type="checkbox"/>
Laredo Community College	Rural	<input checked="" type="checkbox"/>
South Texas College	Urban	<input checked="" type="checkbox"/>
Southwest Texas Junior College	Rural	
Texas Southmost College	Rural	<input checked="" type="checkbox"/>
The Victoria College	Rural	<input checked="" type="checkbox"/>
Southeast Texas Region		
Alvin Community College	Rural	<input checked="" type="checkbox"/>
Brazosport College	Rural	<input checked="" type="checkbox"/>
College of the Mainland	Rural	<input checked="" type="checkbox"/>
Galveston College	Rural	
Houston Community College System	Urban	<input checked="" type="checkbox"/>
Lee College	Suburban	<input checked="" type="checkbox"/>
Lone Star College System	Suburban	<input checked="" type="checkbox"/>
San Jacinto College	Suburban	<input checked="" type="checkbox"/>
Wharton County Junior College	Rural	
West Texas Region		
Amarillo College	Rural	<input checked="" type="checkbox"/>
Clarendon College	Rural	
El Paso Community College	Urban	
Frank Phillips College	Rural	
Howard College	Rural	<input checked="" type="checkbox"/>
Midland College	Rural	<input checked="" type="checkbox"/>
Odessa College	Rural	
South Plains College	Rural	
Western Texas College	Rural	
<p><i>Note: 50% of respondents utilized GO Bonds to fund capital projects from 1998 - 2009.</i></p> <p>Sources:</p> <p>¹ - TACC, 2008</p> <p>² - IPEDS, 2008</p> <p>³ - Information collected from survey instrument, personal interviews, annual financial reports, and media sources.</p>		

Figure 5-2: Texas Community/Junior Colleges Debt Service

TEXAS COMMUNITY/JUNIOR COLLEGES -- Debt Service				
Requirements and Debt Ratios for Tax-Supported Debt				
as of August 31, 2008				
Govt ID #	Issuer/Government Name	Total Debt Outstanding as of 8/31/08	Taxing District Population	Student Headcount - Fall 2007 + Spring 2008 Flex
015-201-15	Alamo CCD	\$962,777,190	1,392,931	51,159
020-201-15	Alvin CCD	\$27,638,194	111,431	4,417
188-201-15	Amarillo JCD	\$47,863,841	193,748	10,355
003-201-15	Angelina County JCD	\$25,945,028	80,130	4,644
227-201-15	Austin CCD	\$168,964,564	652,958	34,064
013-201-15	Bee County (Coastal Bend) College District		32,359	3,169
020-202-15	Brazosport JCD	\$49,586,864	61,153	3,785
014-201-15	Central Texas College District		179,846	13,887
067-201-15	Cisco JCD		5,008	3,426
065-201-15	Clarendon JCD		3,828	1,178
084-201-15	College of the Mainland		118,093	3,615
043-201-15	Collin County CCD	\$71,955,388	491,675	20,198
178-201-15	Corpus Christi (Del Mar) JCD, City of	\$146,859,149	281,167	11,169
057-201-15	Dallas County CCD	\$117,332,566	2,218,899	66,109
057-201-15	Dallas County CCD - Commercial Paper	\$125,000,000		
071-201-15	El Paso CCD		679,622	24,902
117-202-15	Frank Phillips College District (Borger JCD)		15,796	1,325
084-202-15	Galveston College		61,647	2,062
091-201-15	Grayson County JCD	\$70,987,169	110,595	3,847
109-201-15	Hill County JCD (Hill College)		184,822	3,456
101-204-15	Houston Community College System	\$304,204,013	1,322,180	44,730
114-201-15	Howard County JCD	\$32,646,084	33,627	3,501
092-201-15	Kilgore College District		50,257	5,209
240-201-15	Laredo CCD	\$85,312,504	176,576	7,815
101-202-15	Lee College District	\$22,063,838	86,313	5,989
161-201-15	McLennan CCD	\$149,464,214	213,517	8,253
165-201-15	Midland County JCD	\$55,871,971	110,428	6,066
175-201-15	Navarro County JCD		45,118	7,837
049-201-15	North Central Texas (Cooke Co) CCD		36,363	7,578
101-201-15	North Harris Montgomery CCD	\$234,063,204	1,187,489	49,319
032-201-15	Northeast Texas CCD	\$28,083,150	78,905	2,506
068-201-15	Odessa JCD		121,123	4,673
183-201-15	Panola County College District	\$1,581,432	22,756	1,928
139-201-15	Paris JCD		30,796	4,286
184-201-15	Parker County JCD (Weatherford College)	\$8,733,000	88,495	4,499
067-202-15	Ranger College District		3,116	813
101-203-15	San Jacinto JCD	\$105,904,014	517,071	26,609
208-201-15	Scurry County JCD (Western Texas College)		16,361	2,335
110-201-15	South Plains College District		23,761	9,278
214-201-15	South Texas CCD	\$109,230,861	756,956	20,085
031-201-15	Southmost Union JCD (Texas Southmost College)	\$112,402,702	228,763	14,055
232-201-15	Southwest Texas JCD		40,573	4,875
220-201-15	Tarrant County College District	\$59,260,795	1,446,161	45,939
014-202-15	Temple JCD	\$20,720,402	55,400	4,801
019-201-15	Texarkana CCD		24,799	4,389
107-201-15	Trinity Valley CCD		155,691	5,873
212-201-15	Tyler JCD	\$13,453,400	148,534	9,227
235-201-15	Victoria JCD	\$24,575,813	84,088	4,021
239-201-15	Washington County (Blinn) JCD		30,373	14,590
241-202-15	Wharton County JCD		51,787	6,032
244-201-15	Wilbarger County JCD (Vernon Regional Jr College)		14,676	2,814
GRAND TOTALS		\$3,182,481,348	14,077,761	606,692
27 of 50 Districts have Tax-Supported Debt				
Sources: for self-reported tax rates and assessed values for Tax Year 2007 - Texas Comptroller of Public Accounts, Property Tax Division; for population - Texas Higher Education Coordinating Board's "2005				

Source: Texas Bond Review Board (TBRB). (2008a). Financial report on: FY 2008 Texas Community/Junior College District (CCD) Debt Outstanding. Note: *The debt service spreadsheet [data] reveals that 27 out of the 50 community college districts have outstanding debt. This reconciles back to the researchers' matrix that found 25 college districts fund through GO bonds and the additional 2 colleges (Grayson and Tarrant) referred by the TBRB totaling 27 were not GO bond related, but Maintenance and Operations (M&O) elections.*

Figure 5-3. Texas Community College Districts: GO Bond Distribution by Region.



Source: Recreated from TACC data (2008), and the researcher's quantitative and qualitative interviews. Note: *The graphs depict Texas community college districts (by region) that use general obligation bonds to fund capital improvements.*

As illustrated in Figure 5-3, colleges that utilize general obligation bonds for capital improvements had the highest percentage (28%) from the southeast Texas region that included the following colleges:

1. Alvin Community College
2. Brazosport College
3. College of the Mainland
4. Galveston College
5. Houston Community College System
6. Lee College
7. Lone Star College System
8. San Jacinto College
9. Wharton County Junior College

As a follow-up to quantitative and qualitative research findings, eight out of nine colleges held bond elections during 1998-2008. The exception was that one college did lose a bond election during 2009, which occurred outside the timeframe of this study. The survey participant revealed that the college's plans were unknown regarding planning for a future bond election. It was the college's first time to hold an election since its inception. The reason why this discussion is important is due to the high percentage of colleges that successfully passed bond elections in the southern region of the state. According to the personal interviews, college leaders' election success is

attributed to citizens supporting the mission and vision of their local college. Another factor of winning bond elections may be due to the economic vibrancy of the southern region, energy and free trade. The southeast region of colleges, which is part of the *Texas Gulf Coast Community College Consortium*, has played a major role in attracting students in terms of job training, employability, and university transfer.

The greater Houston area also has been touted as one of the nation's top leaders in job growth and service production according to *The Economist* (2009). Additionally, the region also hosts the largest healthcare district in the world, requiring more community colleges to be the front door to training nurses and related support staff. With this noted, enrollments have increased significantly for most of these institutions, which require additional upgrades and construction of new campus facilities. Thus, requiring college leaders and vested stakeholders to fund large capital projects through the use of general obligation bond referendums.

Summary of Findings

Findings from the survey and interview data clearly indicate that community college leaders and their districts do much more than offer instructional programs and train students for future careers. Their ability to provide resources in various forms, which include energy savings, revenue bonds, public/private partnerships, and general obligation bonds to fund capital projects highlights the importance of innovative leadership. These funding resources allow districts to pursue alternative means to accommodate enrollment growth and plan for future operational needs.

Many of the 12 college districts investigated had more than one success in bond elections. Although the level of impact did vary from college to college, as some passed with large margins, while others won by two percentage points.

Results varied between interview data and some survey responses. One example was the question regarding the use of external polls or outside agencies to help plan for a bond campaign. Another example was the power of the senior vote. The survey findings revealed this as a low priority in terms of effectiveness. However, college leaders who had multiple successes in winning bond elections suggested this was a powerful group, which could definitely sway an election either way. Therefore, educating the senior population about an upcoming bond election was a high priority, second to consensus building among civic and business leaders.

Further, research question three was found to be the most significant in the strategy to win bond elections. The findings from the survey revealed common election strategies among the 12 colleges investigated: a) creating a college/community-wide task force, b) leveraging PAC funds to maximize donations, c) having a clear, purposeful vision, and d) developing strong community relationships early on. In other words, the citizens of the community must have trust and confidence in college leadership to support the mission and vision of the institution.

Community college districts and their leaders who plan on holding a bond election in the near future should take advantage of lessons learned from colleges that have won multiple elections. More importantly, capitalizing on local media that support

the institution by leveraging their resources had significant impact in winning a bond measure.

Researcher's Recommendations

The following recommendations are made in accordance with the findings and conclusions of this study. This merely serves as a starting point for junior/community college districts in Texas and throughout our nation. Each college is unique as its own district and should rely on its own judgment when planning for capital projects, specifically general obligation bond elections. The following recommendations are based upon the research findings from the literature, the survey, and follow-up interviews from community college executives.

Recommendation 1: A dialogue among community college leaders to share best practices in capital project funding is recommended. Sharing information among community college districts concerning the types of financing methods, such as general bond obligations and student tuition, used to construct or renovate campus facilities, including successful strategies used in passing general obligation bond elections is encouraged.

Recommendation 2: Community college leaders must advocate for an organized system of data collection to record general obligation bond elections from their state agencies. It is strongly recommended that the Texas Comptroller's Office, as referred to in H.B. 1702 (Appendix H), maintain accessible data to the public on school bond referenda.

Although the status of H.B. 1702 that was authored during the 81st Legislature, it did not make it through the session, and *died on the floor*, according to State Representative Laubenberg. During a personal interview, she offered insights into what prompted H.B. 1702:

This bill was written to have a central place where folks can go and look at bond election information, what it is going to cost them, and what capital improvements are entailed. I am recommending that a third party objective source [Comptroller's office] post information on their website for the public to view. Voters need to know what they are spending their money on. They [school districts] are getting away from the original purpose of the bonds, and they are using them for operating costs, which we know is not allowed. The real reason behind this bill was a school district in my service area would put out a \$150 million bond referendum with no details on the ballot, and expect voters to support the measure. It was turned down twice. Now the school district is going back to the voters a third time...The community colleges actually do a much better job of putting information out on bond elections, but the information needs to be collected, organized and transparent for the citizens. (State Representative Jodie Laubenberg, October 14, 2009)

To strengthen the bill, it is recommended that language be added for public schools and community college districts that contain specific information on data to be collected, and that it be organized according to school, college, or governmental agency type. This would allow for taxpayers, educational leaders, vested stakeholders, and researchers to make informed decisions and provide policy recommendations on education financial matters. Information should be shared and disseminated to the Texas Education Agency, the Texas Higher Education Coordinating Board, the Texas Association of Community Colleges, and related organizations. This recommendation will provide a source of standardized information in which to draw.

Recommendation 3: The need to create an organization for capital project

advocacy is necessary. States such as California have formed a Community College Facility Coalition. The organization provides advocacy for facilities issues and essential information and services (e.g., bond elections) to California's community college districts and their business partners on facility matters. The Coalition records bond election data by community college district as shown in Appendix G, which is consistent with recommendation #2.

Research Contributions

This study analyzed many complex issues associated with how Texas community college districts fund capital projects. The researcher found that 25 college districts participate in general obligation bond elections, and the remaining 25 college districts fund capital projects through a combination of revenue bonds, operating funds, pay-as-you go (property tax revenue), energy savings, public/private partnerships, grants, and donations.

Results from the literature review indicated that this investigation was the first empirical study to focus on capital project financing and bond referendums for community colleges.

- a. A survey instrument that was developed on behalf of this study will serve as a model to help future researchers who choose to conduct case studies or longitudinal research in the field of community college research.
- b. The qualitative interviews from college CEOs and administrators substantiated validity of the survey instrument.

- c. A matrix was created that will aid governmental agencies and their constituents in understanding the importance of an organized system of data in the field of education finance.
- d. Lastly, the dissertation presented political and strategic frameworks to reinforce the literature review.

Areas for Further Research

This study was limited to 12 community college districts in the state of Texas. While these districts are not representative in their entirety, it may be worthwhile to replicate the study across a multitude of states to allow statistical sample methods to garner a larger population and sample size to establish relationship patterns or trends. More information is also needed on demographic and socioeconomic differences between community college districts that choose bond referendums as a mechanism to finance capital projects and those who do not.

As described in the recommendations of this study, further research in the area of policy is warranted. An example stems from the recommendation #3, H.B. 1702, which suggests that the state Comptroller's office maintain a website for the public to review bond election information.

Conclusion

Though this investigation was conducted within narrowly defined limits, the results are meaningful because they add to the basic understanding of the effects of demographic variables and the relationship of bond election strategies and processes

used to produce winning campaign outcomes. Results from this study provide educational leaders and vested stakeholders with information that points to certain factors having a strong effect in determining a positive vote. Evidence from this study has shown that early planning for a bond referendum that involves building strong community relationships, committee leadership, and an appropriate level of Political Action Committee funds are significant in predicting positive outcomes. The results from this study also indicated that bond measures could pass in tough economic times. Many of the bond elections that did pass in 2008 were before the housing and stock market crash that contributed to double-digit unemployment rates throughout the nation. In 2009, one community college district did hold a bond election, but failed by a wide margin. It is unclear if the failure was attributed to a weak economy or lack of strategic planning processes. The leaders who participated in this study did note the *health of the economy* was an important factor when considering a bond referendum. What remains clear, however, is the importance of a sound bond program to attract voter support.

To summarize, policymakers at the local, state, and national levels need to be aware of the economic impact community colleges have on their local communities and their region. The state's economic outlook depends on having an educated workforce. State support and collaboration is critical. The mission of the American community college is primarily about access and opportunity, which require both monetary and non-monetary support from their local communities. Lastly, taxpayers must realize the return on investment they are getting for having a local college in their service area that is low

cost, but pays dividends well into the future.

APPENDIX A

IRB Approval



OFFICE OF RESEARCH SUPPORT
THE UNIVERSITY OF TEXAS AT AUSTIN

P.O. Box 7426, Austin, Texas 78713 (512) 471-8871 -FAX (512 471-8873) North
Office Building A, Suite 5.200 (Mail code A3200)

FWA: 2030
Date: 06/11/09

PI(s): John E Roueche Jr
Elise A Brazier

Department & Mail Code: COMM COLL LDRSHP PROG D5600

IRB Approval-IRB Protocol #: 2009-04-0089

EXEMPT DETERMINATION OF RESEARCH PROPOSAL

Title: SUCCESSFUL FRAMEWORKS FOR FINANCING CAPITAL PROJECTS:
AN ANALYSIS OF TEXAS COMMUNITY COLLEGES PROCESSES FOR
BOND REFERENDUMS, 1998 TO 2008

Approval Period: 06/11/2009 06/10/2012 (expires 12am [midnight] of this date.)

This research project has been approved for a period of up to three years.
Approval determination was based on the following Code of Federal Regulations:
45 CFR 46.101(b):

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless:
(i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

Responsibilities of the Principal Investigator(s):

Research that is determined to be Exempt from IRB review is not Exempt from protection of the human subjects. The following criteria to protect human subjects must be met:

1. The investigator assures that all investigators and co-investigators are trained in the ethical principles, relevant Federal Regulations and institutional policies governing human subject research;
2. The investigator assures that human subjects will voluntarily consent to participate in the research when appropriate (e.g. surveys, interviews) and will provide subjects with pertinent information, e.g. risks and benefits, contact information for investigators and IRB chair, etc.;
3. The investigator assures that human subjects will be selected equitably, so that the risks and benefits of the research are justly distributed.
4. The investigator assures that the IRB will be immediately informed of any information, unanticipated problems that would increase the risk to the human subjects and cause the category of review to be upgraded to Expedited or Full Review;
5. The investigator assures that the IRB will be immediately informed of any complaints from participants regarding their risks and benefits; and
6. The investigator assures that confidentiality and privacy of the subjects and the research data will be maintained appropriately to ensure minimal risk to subjects.

The above criteria are specified in the PI Assurance Statement and as the Responsible Investigator, you acknowledged you understood and accepted these conditions with the submission of your protocol. Investigators can refer to the University website www.utexas.edu/irb for specific information on training, voluntary informed consent, privacy, and how to notify the IRB of unanticipated problems.

1. **Closure:** Upon completion of the research project, a closure request must be submitted to the Office of Research Support (ORS).
2. **Unanticipated Problems:** Any unanticipated problems or complaints must be reported to the IRB/ORS immediately. For a description of unanticipated problems, please refer to the ORS webpage: <http://www.utexas.edu/research/rsc/humansubjects/policies/section7.html#7.3>
3. **Informed Consent:** The informed consent procedures laid out within your research proposal must be followed.
4. **Continuing Review:** If the study will continue beyond the approval period, a continuing review application must be filed.
5. **Amendments:** Amendments do not need to be filed with the ORS if the amendments do not change the risk level of the study (for example: increasing sample size, adding or removing co-PIs, adding or removing research sites, or minor modifications to the research protocol that do not affect the risk level). Changes that alter the level of risk to participants must be requested by submitting an amendment application and revised proposal to the ORS prior to those changes being implemented. For a description of the types of modifications that require an amendment application, please refer to the ORS webpage: <http://www.utexas.edu/research/rsc/humansubjects/policies/section6.html#635b>, or call 471-8871.

If you have questions, please call your IRB Program Coordinator for consultation.

Thank you for your help in this matter.

Sincerely,



Jody Jensen, Ph.D., IRB Chair

APPENDIX B

IRB Consent Form

Title: Successful Frameworks for Financing Capital Projects: An Analysis of Texas Community Colleges Processes for Bond Referendums, 1998 to 2008.

IRB PROTOCOL #2009-04-0089

Conducted By: Elise A. Brazier, The University of Texas at Austin, Educational Administration/Community College Leadership Program
Ph.D., Doctoral Candidate, and lead Investigator.

Telephone: 512.809.6684, Email: elise.brazier@yahoo.com

Faculty Sponsor: John E. Roueche Telephone: 512.471.7545
Email: roueche@mail.utexas.edu

Funding Source: Elise A. Brazier

You are being asked to participate in a research study. This form provides you with information about the study. The person in charge of this research will also describe this study to you and answer all of your questions. Please read the information below and ask any questions you might have before deciding whether or not to take part. Your participation is entirely voluntary. You can refuse to participate without penalty or loss of benefits to which you are otherwise entitled. You can stop your participation at any time and your refusal will not impact current or future relationships with UT Austin or participating sites. To do so simply tell the researcher you wish to stop participation. The researcher will provide you with a copy of this consent for your records.

The purpose of this study:

To investigate methods and strategies employed by Texas community college leaders in how they finance capital projects, specifically using general obligation bond referendums as a financial vehicle to construct campus facilities and expand program offerings.

If you agree to be in this study, we will ask your child to do the following things:

- Fill out a questionnaire on financing used in capital projects and bond referenda campaigns
Participate in an interview that asks the participants (educational leaders) their perception of strategies used in financing capital projects

Total estimated time to participate will be approximately one hour.

Risks of being in the study:

- The risk associated with this study is minimal and less than most research studies.

Benefits of being in the study:

- A potential benefit would be the dissemination of information and sharing of knowledge among educational leaders and vested stakeholders interested in learning about financing capital projects through use of general obligation bond referenda.

Compensation:

- You will not be compensated, monetary or otherwise, for participating in this study.

Confidentiality and Privacy Protections:

- Interviews will be audio taped and coded so that no personally identifying information is visible on them.
- Audio tapes will be kept in a secure place (i.e., a locked file cabinet in the investigator's office) and be heard only for research purposes by the investigator and his or her associates. Tapes will be erased after they are transcribed or coded
- The data resulting from your participation may be made available to other researchers in the future for research purposes not detailed within this consent form. In these cases, the data will contain no identifying information that could associate you with it, or with your participation in any study.

The records of this study will be stored securely and kept confidential. Authorized persons from The University of Texas at Austin, members of the Institutional Review Board, and (study sponsors, if any) have the legal right to review your research records and will protect the confidentiality of those records to the extent permitted by law. All publications will exclude any information that will make it possible to identify you as a subject. Throughout the study, the researchers will notify you of new information that may become available and that might affect your decision to remain in the study.

Contacts and Questions: If you have any questions about the study please ask now. If you have questions later, want additional information, or wish to withdraw your participation call the researchers conducting the study. Their names, phone numbers, and e-mail addresses are at the top of this page. If you have questions about your rights as a research participant, complaints, concerns, or questions about the research please contact Jody Jensen, Ph.D., Chair, The University of Texas at Austin Institutional Review Board

for the Protection of Human Subjects at (512) 232-2685 or the Office of Research Support at (512) 471-8871 or email: orosc@uts.cc.utexas.edu.

Statement of Consent:

I have read the above information and have sufficient information to make a decision about participating in this study. I consent to participate in the study.

Signature: _____ Date: _____

Signature of Person Obtaining Consent Date: _____

Signature of Investigator: _____ Date: _____

You will be given a copy of this information to keep for your records.

APPENDIX C

Survey Participation Email

August 7, 2009

Dear XXX (Community College CEO and/or Administrator)

I am currently a Ph.D. doctoral candidate in the Community College Leadership Program at The University of Texas at Austin under the direction of Dr. John Roueche and Dr. Walter Bumphus.

My dissertation research: "Successful Frameworks for Financing Capital Projects: An Analysis of Texas Community Colleges Processes for Bond Referendums, 1998 to 2008" is the first empirical research study of community colleges that addresses this particular project. The literature does point to a few case studies for school districts and two-year community colleges in regards to bond referendums. However, none specifically addresses capital project financing and bond referendum processes.

Your input as a community college leader will support this research effort of processes employed by Texas community college CEOs and leaders in capital project financing and strategies used in passing a bond measure. Once the study is completed and finalized, the results will be shared to those who are interested.

The survey should take approximately 10-15 minutes to complete. Please click on the survey link below to access it directly. The survey deadline is Monday, August 24, 2009 at midnight. Of course, earlier submissions are preferred. Please contact me if you have any questions or comments. Thank you for your participation!

http://www.surveymonkey.com/s.aspx?sm=FH4jTU7eZNVkJf7J_2fpZ7eQ_3d_3d

Sincerely,

Elise Brazier
Doctoral Candidate CCLP
The University of Texas at Austin
512-809-6684 cell

APPENDIX D

Survey Texas Community College Capital Project Financing and Bond Referendums

Survey of Texas Community Colleges Capital Project Financing and

1. Copy of page: Consent Form

You are being asked to participate in a research study. This form provides you with information about the study. The person in charge of this research will also describe this study to you and answer all of your questions. Please read the information below and ask any questions you might have before deciding whether or not to take part. Your participation is entirely voluntary. You can refuse to participate without penalty or loss of benefits to which you are otherwise entitled. You can stop your participation at any time and your refusal will not impact current or future relationships with UT Austin or participating sites. To do so simply tell the researcher you wish to stop participation. The researcher will provide you with a copy of this consent for your records.

Title: Successful Frameworks for Financing Capital Projects: An Analysis of Texas Community Colleges Processes for Bond Referendums, 1998 to 2008

IRB Approval Protocol #2009-04-0089

Conducted By: Elise A. Brazier, Ph.D. Doctoral Candidate, and lead investigator.
The University of Texas at Austin, Educational Administration, Community College Leadership Program,
Telephone: 512.809.6684, Email: elise.brazier@yahoo.com

Supervising professor and principal investigator: Dr. John E. Roueche
Telephone: 512.471.7545 Email: roueche@mail.utexas.edu
The University of Texas at Austin, Department of Educational Administration, Community College Leadership Program

Survey of Texas Community Colleges Capital Project Financing and

The purpose of this study is to provide analysis of the strategies employed by Texas community college leaders in how they finance capital projects, specifically using general obligation bond referendums as a financial vehicle to construct campus facilities and expand program offerings.

If you agree to be in this study, you will be asked to do the following:

- Fill out a questionnaire on financing used in capital projects and bond referenda campaigns
- Participate in a randomly selected interview that asks the participants (educational leaders) their perception of strategies used in financing capital projects

Total estimated time to participate will be no longer than one hour, which will consist of approximately 15 minutes for the questionnaire, and 30 minutes for the interview.

Risks of being in the study:

- The risk associated with this study is minimal and less than most research studies.

Benefits of being in the study:

- A potential benefit would be the dissemination of information and sharing of knowledge among educational leaders and vested stakeholders interested in learning about financing capital projects through use of general obligation bond referenda.

Compensation:

- You will not be compensated, monetarily or otherwise, for participating in this study.

Confidentiality and Privacy Protections:

- Interviews will be audio taped and coded so that no personally identifying information is visible on them.
- Audio tapes will be kept in a secure place (i.e., a locked file cabinet in the investigator's office) and be heard only for research purposes by the investigator and his or her associates. Tapes will be erased after they are transcribed or coded
- The data resulting from your participation may be made available to other researchers in the future for research purposes not detailed within this consent form. In these cases, the data will contain no identifying information that could associate you with it, or with your participation in any study.

The records of this study will be stored securely and kept confidential. Authorized persons from The University of Texas at Austin, members of the Institutional Review Board, and (study sponsors, if any) have the legal right to review your research records and will protect the confidentiality of those records to the extent permitted by law. All publications will exclude any information that will make it possible to identify you as a subject. Throughout the study, the researchers will notify you of new information that may become available and that might affect your decision to remain in the study.

Contacts and Questions: If you have any questions about the study please ask now. If you have questions later, want additional information, or wish to withdraw your participation call the researchers conducting the study. Their names, phone numbers, and e-mail addresses are at the top of this page. If you have questions about your rights as a research participant, complaints, concerns, or questions about the research please contact Jody Jensen, Ph.D., Chair, The University of Texas at Austin Institutional Review Board for the Protection of Human Subjects at (512) 232-2685 or the Office of Research Support at (512) 471-8871 or email: orssc@uts.cc.utexas.edu.

Survey of Texas Community Colleges Capital Project Financing and

* Statement of Consent:

I have read the above information and have sufficient information to make a decision about participating in this study. I consent to participate in the study.

You will be given a copy of this information to keep for your records.

**Check if you agree to participate in this research study conducted by Elise A. Brazier from
The University of Texas at Austin. All information will be kept confidential and individual names of the participants and colleges will not be used in the research project.**

Thank you for agreeing to participate in this research study.

☐ Agree

Please include your full name, job title and college

You may choose to print a copy of the consent form for your records. At the top of the screen go to FILE, PRINT, and then proceed to the next step.

2. Consent Form

You are being asked to participate in a research study. This form provides you with information about the study. The person in charge of this research will also describe this study to you and answer all of your questions. Please read the information below and ask any questions you might have before deciding whether or not to take part. Your participation is entirely voluntary. You can refuse to participate without penalty or loss of benefits to which you are otherwise entitled. You can stop your participation at any time and your refusal will not impact current or future relationships with UT Austin or participating sites. To do so simply tell the researcher you wish to stop participation. The researcher will provide you with a copy of this consent for your records.

Title: Successful Frameworks for Financing Capital Projects: An Analysis of Texas Community Colleges Processes for Bond Referendums, 1998 to 2008

IRB Approval Protocol #2009-04-0089

Conducted By: Elise A. Brazier, Ph.D. Doctoral Candidate, and lead investigator.
The University of Texas at Austin, Educational Administration, Community College Leadership Program,
Telephone: 512.809.6684, Email: elise.brazier@yahoo.com

Supervising professor and principal investigator: Dr. John E. Roueche
Telephone: 512.471.7545 Email: roueche@mail.utexas.edu

Page 3

Survey of Texas Community Colleges Capital Project Financing and

The University of Texas at Austin, Department of Educational Administration, Community College Leadership Program

The purpose of this study is to provide analysis of the strategies employed by Texas community college leaders in how they finance capital projects, specifically using general obligation bond referendums as a financial vehicle to construct campus facilities and expand program offerings.

If you agree to be in this study, you will be asked to do the following:

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Compensation:

- You will not be compensated, monetarily or otherwise, for participating in this study.

Confidentiality and Privacy Protections:

- Interviews will be audio taped and coded so that no personally identifying information is visible on them.
- Audio tapes will be kept in a secure place (i.e., a locked file cabinet in the investigator's office) and be heard only for research purposes by the investigator and his or her associates. Tapes will be erased after they are transcribed or coded
- The data resulting from your participation may be made available to other researchers in the future for research purposes not detailed within this consent form. In these cases, the data will contain no identifying information that could associate you with it, or with your participation in any study.

The records of this study will be stored securely and kept confidential. Authorized persons from The University of Texas at Austin, members of the Institutional Review Board, and (study sponsors, if any) have the legal right to review your research records and will protect the confidentiality of those records to the extent permitted by law. All publications will exclude any information that will make it possible to identify you as a subject. Throughout the study, the researchers will notify you of new information that may become available and that might affect your decision to remain in the study.

Contacts and Questions: If you have any questions about the study please ask now. If you have questions later, want additional information, or wish to withdraw your participation call the researchers conducting the study. Their names, phone numbers, and e-mail addresses are at the top of this page. If you have questions about your rights as a research participant, complaints, concerns, or questions about the research please contact Jody Jensen, Ph.D., Chair, The University of Texas at Austin Institutional Review Board for the Protection of Human Subjects at (512) 232-2685 or the Office of Research Support at (512) 471-8871 or email: orsc@uts.cc.utexas.edu.

Survey of Texas Community Colleges Capital Project Financing and

* Statement of Consent:

I have read the above information and have sufficient information to make a decision about participating in this study. I consent to participate in the study.

You will be given a copy of this information to keep for your records.

Check if you agree to participate in this research study conducted by Elise A. Brazier from

The University of Texas at Austin. All information will be kept confidential and individual names of the participants and colleges will not be used in the research project.

Thank you for agreeing to participate in this research study.

☐ Agree

Please include your full name, job title and college

You may choose to print a copy of the consent form for your records. At the top of the screen go to FILE, PRINT, and then proceed to the next step.

3. Phase I - BACKGROUND INFORMATION

* 1. What current position do you hold?

☐ Chancellor/Institutional CEO (District)

☐ President (Single District)

☐ President (Multi-campus)

☐ Administrator (Vice President/Dean/Director/Other)

Survey of Texas Community Colleges Capital Project Financing and

*** 2. How does your college fund new campus facilities, or renovations? Check all that apply.**

☐ Pay as you Go (property tax revenue)

☐ Revenue Tuition Bonds

☐ General Obligation Bonds

☐ Energy Savings

☐ Public/Private Partnerships

☐ Other

Other (please specify)

*** 3. Does the current economic climate effect your decision to postpone expanding or renovating campus facilities within the next two years?**

☐ Yes

☐ No

☐ Not sure

*** 4. How likely will your college plan for a General Obligation (GO) bond measure within the next 12 months? Check one.**

☐ Most likely

☐ Not likely

☐ Not sure

*** 5. Will your college participate in a GO bond election in the next five years?**

☐ Yes

☐ No

☐ Not sure

*** 6. Has your college participated in GO bond campaigns on your campus within the past 10 years (1998 – 2008)?**

☐ Yes

☐ No

Survey of Texas Community Colleges Capital Project Financing and

*** 7. Were you employed with a public Texas community college district from 1998 to 2008?**

☐ Yes

☐ No

*** 8. Were you employed at your present institution during the last GO bond election?**

☐ Yes

☐ No

☐ N/A

If "NO" please include position held and college name

*** 9. Were you directly involved with a general obligation bond referendum process at a Texas community college district from 1998 to 2008?**

☐ Yes

☐ No

Note: If you participated in a bond election with a Texas community college district from 1998 to 2008, please continue to phase II and click "NEXT" at the bottom of the survey.

If you "did not" participate in a GO bond election during that time or were not employed by a Texas community college district, would you be interested in participating in a short interview to discuss capital project financing? Please indicate "YES" or "NO" in the comment box below.

4. Survey Completed!

Thank you. Your opinion is greatly appreciated!

5. Phase II - PLANNING PROCESSES FOR GENERAL OBLIGATION BOND CAMPAIGNS

Survey of Texas Community Colleges Capital Project Financing and

*** 10. What constituency member or group initiated planning for a college bond measure? Please check "all" that apply.**

- ☐ Board Member
- ☐ Chancellor/President
- ☐ Community Leader/Member
- ☐ Faculty/Staff Member
- ☐ Other

Other (please specify)

*** 11. What was the top priority(s) of planning for a bond referendum? Please rate the following from the highest to lowest priority, using 5 (high priority) and 1 (low priority).**

	5	4	3	2	1
Expand facilities due to enrollment growth	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Renovate facilities due to enrollment growth	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
New program offerings (curriculum related)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
New program offerings (student service related)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Build new library	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Build new administrative offices	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Build a learning center (labs and classrooms)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Build a performing arts center	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please briefly explain)

*** 12. How many times has your college put a GO bond measure on the ballot within the last 10 years (1998 to 2008)?**

- ☐ One
- ☐ Two
- ☐ Three
- ☐ Four or more

Survey of Texas Community Colleges Capital Project Financing and

*** 13. How many times has the college failed a bond measure in the past 10 years?**

- ☐ One
- ☐ Two
- ☐ Three
- ☐ Four or more
- ☐ None

*** 14. How many times has the college passed a bond measure in the past 10 years?**

- ☐ One
- ☐ Two
- ☐ Three
- ☐ Four or more
- ☐ None

*** 15. What planning processes of the bond referendum were effective in the most recent campaign? Please rate each of the following using 5 (most effective) and 1 (least effective).**

	5	4	3	2	1
Change in college leadership (chancellor or president)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Change in board leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Hiring of a consulting/marketing firm	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Forming a planning committee	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Political Action Committee (PAC) funding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Voter opinion polls	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify)					

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*** 16. What demographic and/or socioeconomic variables were most/least effective during the bond measure? Please rate each of the following statements: 5 (most effective) and 1 (least effective).**

	5	4	3	2	1
Ethnicity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Age	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Income	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Educational level	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Parents with school-aged children	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Senior population	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Home owners	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tenants of rental property	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify)	<input type="text"/>				

*** 17. Please rate which form of community outreach/communication methods were effective during the planning phase of the GO bond campaign: Use 5 (most effective) and 1 (least effective).**

	5	4	3	2	1
Presentations at civic organizations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Town hall meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Homeowner/social meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Door to door	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Telephone campaign	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Media (print/electronic/billboard)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify)	<input type="text"/>				

*** 18. Who had the primary responsibility for "planning" the most recent GO bond campaign activities?**

- ☐ College chancellor or president
- ☐ Committee chair
- ☐ Committee volunteers
- ☐ Consulting firm
- ☐ Other

Other (please specify)

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*** 19. Who had the primary responsibility for "implementing" the most recent GO bond campaign activities?**

- ☐ College chancellor or president
- ☐ Committee chair
- ☐ Committee volunteers
- ☐ Consulting firm
- ☐ Other

Other (please specify)

*** 20. Were any opinion polls conducted to gauge voter's opinions before the planning phase of the latest bond measure?**

- ☐ Yes
- ☐ No

21. If "Yes," were the opinion polls conducted by the college or outside polling agency?

- ☐ Internal (college)
- ☐ External (outside agency)
- ☐ Both

22. Were the polls a good outcome predictor of the bond election?

- ☐ Yes
- ☐ No
- ☐ Not sure

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*** 23. In your opinion, what time of year was most effective in placing the bond measure on the ballot to maximize the greatest number of votes?**

- ☐ Fall
- ☐ Spring
- ☐ Special Election
- ☐ Other

Other (please specify)

*** 24. Below are a number of bond committee attributes and activities that are suggested to impact bond election results. Next to each of the following activities, please indicate whether you feel the item was crucial to the positive outcome of the bond election(s) at your college, in relation to the other attributes and activities.**

Use 5 (strongly agree) 1 (strongly disagree) and N/A (not applicable).

	5	4	3	2	1	N/A
College leadership was critical in passing the bond measure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Endorsements from prominent citizens/community groups were effective	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Town Hall meetings were most effective	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Supportive voters and/or specific areas were primarily targeted	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The senior vote determined the passage or failure of the bond measure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Resources were used to sway unsupportive voters	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Campaign was low key, but persistent	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Results of the last election were analyzed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Paid consultants played an important role of passing the bond referendum	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Involving the community before the planning phase was critical in the passage of the bond referendum	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The health of the economy was a factor in the passage of the bond referendum	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

25. If the bond measure failed, please list a few reasons why:

Survey of Texas Community Colleges Capital Project Financing and

*** Thank you for completing the survey. Because your input is of great importance, participants will be randomly selected to participate in a short interview as a follow-up to the questionnaire. Would you agree to an interview?**

☐ Yes

☐ No

APPENDIX E

Interview Questions

1. In your opinion, why do you believe the past XX bond election(s) were successful?
2. Was there organized opposition to the bond measure(s)?
3. Dates of last XX bond elections, amounts? Were both elections held in the fall?
4. I noticed that your college will be planning for a bond campaign within the next five years, can you explain? Purpose?
5. During the planning for the next bond election, will there be any changes?
6. Is Fall still the best time of year to put a measure on the ballot?
7. How much PAC money was raised during the last bond election? Was there a difference in funds from one election to the next?

APPENDIX F

TEXAS BOND REVIEW BOARD

EMAIL

RE: Help! -- Data needed for Bond elections - Yahoo! Mail

Page 1 of 2



RE: Help! -- Data needed for Bond elections

Tuesday, September 8, 2009 10:10 AM

From: "Judy Good" <good@brb.state.tx.us>

To: elise.brazier@yahoo.com

Cc: "Rob Latsha" <latsha@brb.state.tx.us>, "Heather Rosas" <rosas@brb.state.tx.us>

Dear Ms. Brazier:

As you have already found, not one state agency tracks the results of bond elections for all Texas local governments. The Bond Review Board only collects the bond election information on Texas independent school districts. The source of our information comes mainly from a private organization, The Municipal Advisory Council of Texas (www.mactexas.com), from the U.S. Department of Justice's weekly Notice of Section 5 Submission Activity under the Voting Rights Act of 1965 (<http://www.usdoj.gov/crt/voting/notices/noticepg.html>) (this report only shows when an election is to be held), from various newspaper articles and bond transcripts.

The Municipal Advisory Council of Texas may have some of the results you seek, but searching for those that have been held since a district's inception may be very difficult to collect, although there are only 50 community/junior college districts in Texas. I surmise from your e-mail that you were not able to get all the information you needed when you sent your survey to them. I am not clear as to why you would need to contact each county for information on the community/junior college districts. The districts are separate taxing entities.

We do receive bond transcript information after the bonds are issued, which includes the date of the election and amount authorized relative to that issuance. We started tracking community/junior college outstanding debt data in 1995.

I'm sorry that we couldn't be of more help.

Sincerely,

Judy Good

Senior Financial Analyst - Local Government

Texas Bond Review Board

300 West 14th Street - Suite 409

Austin, Texas 78701

Phone: 512-475-4801

Fax: 512-475-4802

APPENDIX G

Community College Facility Coalition

Community College District Bond Elections
(1988 - 2008)

Riverside CCD	\$350,000,000	55%	60.32	P
San Joaquin Delta CCD	\$250,000,000	55%	56.9	P
Sierra Joint CCD	\$394,000,000	55%	54.4	F
West Kern CCD	\$39,800,000	55%	57.9	P
November 2002				
Coast CCD	\$370,000,000	55%	65	P
Compton CCD	\$100,000,000	55%	76	P
El Camino CCD	\$394,500,000	55%	61	P
Grossmont-Cuyamaca CCD	\$207,000,000	55%	60	P
Hartnell CCD	\$131,000,000	55%	66	P
Kern CCD	\$180,000,000	55%	59	P
Merced CCD - Los Banos (SFID)	\$11,900,000	55%	68	P
Merced CCD - Merced College (SFID)	\$53,500,000	55%	56	P
Monterey CCD	\$145,000,000	55%	68	P
Napa Valley CCD	\$133,000,000	55%	61	P
Rancho Santiago CCD	\$337,000,000	55%	64	P
Rio Hondo CCD	\$194,600,000	55%	52	F
San Bernardino CCD	\$190,000,000	55%	62	P
San Diego	\$685,000,000	55%	68	P
Solano CCD	\$124,500,000	55%	55	P
State Center CC	\$161,000,000	55%	57	P
March 2002				
Butte CCD	\$84,900,000	55%	66	P
Chaffey CCD	\$230,000,000	55%	58	P
Contra Costa CCD	\$120,000,000	55%	65	P
Fremont-Newark CCD	\$150,000,000	55%	56	P
Glendale CCD	\$98,000,000	55%	58	P
Long Beach CCD	\$176,000,000	55%	65	P
Los Rios CCD	\$265,000,000	55%	61	P
North Orange CCD	\$239,000,000	55%	57	P
Pasadena Area CCD	\$150,000,000	55%	69	P
November 2001				
Mt San Antonio CCD	\$221,000,000	55%	58	P
San Francisco CCD	\$195,000,000	55%	73	P
San Mateo CCD	\$207,000,000	55%	65	P
Santa Clara CCD	\$83,000,000	55%	68	P
April 2001				
Los Angeles CCD	\$1,250,000,000	55%	67	P
November 2000				
Contra Costa CCD	\$236,000,000	2/3	63	F
Los Rios CCD	\$215,000,000	2/3	62	F
Peralta CCD	\$153,200,000	2/3	79	P
March 2000				
Los Rios CCD	\$215,000,000	2/3	65.3	F
November 1999				
Foothill-DeAnza CCD	\$248,000,000	2/3	72	P
Mt San Antonio CCD	\$98,000,000	2/3	63	F
San Mateo CCD	\$125,000,000	2/3	65	F
Santa Barbara CCD	\$48,400,000	2/3	54	F
November 1998				
San Jose - Evergreen CCD	\$150,000,000	2/3	67+	P
June 1998				
Cabrillo CCD	\$85,000,000	2/3	73.9	P
Imperial CCD	\$15,000,000	2/3	65.2	F
Lake Tahoe CCD	\$14,000,000	2/3	55.6	F
November 1997				
Mt San Antonio CCD	\$122,000,000	2/3	56.3	F
June 1997				
San Francisco CCD (CC portion of Joint K-14)	\$50,000,000	2/3	74.3	P

APPENDIX H

H.B. 1702

Texas Legislature Online History

Bill: HB 1702 Legislative Session: 81(R) Council Document: 81R 3085 JTS-D

Last Action: 03/03/2009 H Referred to Ways & Means

Caption Version: Introduced

Caption Text: Relating to the posting on the comptroller's Internet website certain information related to bonds issued by local governments.

Author: Laubenberg | Jackson, Jim

Subjects: Aging (10015)
City Government--Finance (10062)
County Government--Finance (10097)
Education--Primary & Secondary--Finance (10250)
Special Districts & Authorities--Hospital (10750)
BONDS (S6060)
COMPTROLLER OF PUBLIC ACCOUNTS (V2608)

House Committee: Ways & Means

Status: In committee

Actions: (descending date order)

Description	Comment	Date▼	Time	Journal Page
H Referred to Ways & Means		03/03/2009		530
H Read first time		03/03/2009		530
H Filed		02/24/2009		

APPENDIX I

81R3085 JTS-DBY: Laubenberg

H.B. No. 1702

A BILL TO BE ENTITLED

AN ACT

relating to the posting on the comptroller's Internet website certain information related to bonds issued by local governments.

BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF TEXAS:

SECTION 1. Subtitle C, Title 9, Government Code, is amended by adding Chapter 1253 to read as follows:

CHAPTER 1253. PUBLICATION OF LOCAL GOVERNMENT BOND

INFORMATION

Sec. 1253.001. DEFINITION. In this chapter, "local government" means a county, municipality, or other political subdivision of the state that is authorized to issue general obligation bonds.

Sec. 1253.002. RULES. The comptroller shall adopt rules to implement this chapter.

Sec. 1253.003. PUBLICATION OF INFORMATION BEFORE ELECTION.

(a) Not later than the 30th day before a scheduled election to authorize the issuance of general obligation bonds by a local government, the local government shall submit to the

comptroller for publication on the comptroller's Internet website information regarding the bonds proposed to be issued, including information regarding:

- (1) the principal amount of the proposed bonds;
 - (2) a description of how proceeds from the proposed bonds will be spent;
 - (3) the effect of the issuance of the proposed bonds on the local government's tax rates;
 - (4) the total estimated cost, including interest, to redeem the proposed bonds;
 - (5) the date by which the proposed bonds will be paid off; and
 - (6) the amount of the local government's total outstanding bonded indebtedness after issuance of the proposed bonds.
- (b) The comptroller shall publish the information, in an easily readable format, on the comptroller's Internet website not later than the 15th day before the date scheduled for the election.

Sec. 1253.004. COMPILATION OF BOND INFORMATION. A local government quarterly shall prepare a report on the status of its outstanding indebtedness and submit the report to the comptroller for posting on the comptroller's Internet website. The report must include:

- (1) the amount of the local government's total outstanding bonded indebtedness; and

(2) for each issuance of bonds with outstanding indebtedness, information regarding:

(A) how bond proceeds have been used;

(B) the amount of outstanding indebtedness; and

(C) the date on which the bonds become payable.

SECTION 2. (a) The comptroller of public accounts shall adopt rules necessary to implement Chapter 1253, Government Code, as added by this Act, not later than September 1, 2009.

(b) A local government shall submit to the comptroller of public accounts, and the comptroller shall publish, the information required by Section 1253.003, Government Code, as added by this Act, for bonds proposed to be authorized by an election to be held on or after January 1, 2010.

(c) Each local government shall submit to the comptroller of public accounts the first report required by Section 1253.004, Government Code, as added by this Act, not later than January 1, 2010.

SECTION 3. This Act takes effect immediately if it receives a vote of two-thirds of all the members elected to each house, as provided by Section 39, Article III, Texas Constitution. If this Act does not receive the vote necessary for immediate effect, this Act takes effect September 1, 2009.

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VITA

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